Northern Ireland Civil Service

RECORDS NI

Electronic Document and Records Management (EDRM)
Lead Implementation 2nd Lessons Learned Report

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Executive Summary

Background

The Northern Ireland Civil Service (NICS) initiated a project in January 2003 called the NICS Electronic Document and Records Management System Infrastructure (EDRMSI) Project. One of the deliverables of this project was the initiation of three EDRMS "Lead Implementations". They were established in the Office of the First Minister and the Deputy First Minister (OFMDFM), the Department of Enterprise, Trade and Investment (DETI) and the Public Record Office for Northern Ireland (PRONI). The EDRMS product selected (via a procurement exercise) for the implementations was Tower Software's TRIM Context.

The NICS EDRMSI Project, which spawned the three Lead Implementations, has since been closed. A new project, called the NICS Electronic Document and Records Management Implementation (EDRMI) Project, was initiated in February 2005. Its objective is to establish a central EDRMS and implement approximately 16,500 NICS users on to it by the end of November 2007. The users involved in the Lead Implementations will be migrated on to the new system as part of this process. The NICS EDRMI project was re-branded as **Records NI** in October 2006. This naming convention is in line with the other NICS mission critical programmes and projects, which collectively form one of the largest public reform programmes in Western Europe.

An Interim Lessons Learned Report, based on the initial experiences of the 3 Lead Implementations, was produced in June 2005. As it was produced at an early stage it focused mainly on EDRM preparation and implementation. It was agreed that in time, a second report would follow to detail the EDRM operational experiences gained.

This is that report. It reflects the experiences of the Lead Implementers who have now been operational for just under two years.

Lead Implementations

DETI is currently the single largest EDRMS implementation in the NICS with 540 users, i.e. approximately 75% of eligible staff in the Department, with the remainder due to receive TRIM by the end of 2006.

PRONI as a Lead Implementer went live with EDRM on 17th January 2005 to all staff on one site. During the period of the Report PRONI was de-agentised and is now a Division within the Department of Culture, Arts and Leisure (DCAL). Change management is now of central concern for both when introducing two sets of TRIM users to the one system in a year's time. PRONI is currently implementing an interim plan to ensure continuity with NICS and DCAL policies and planning carefully for migration to the new system.

OFMDFM has currently 88 staff using the EDRMS with the remainder of the department expected to receive TRIM in 2007.

In this 2nd Lessons Learned Report the three lead implementers outline an agreed top ten recommendations. They reflect the need for sustained commitment to EDRM. They also recognise that all staff involved are still learning, this includes both the administrators and the end users.

Records NI Project

This report also highlights some of the measures that are being put in place in the RecordsNI Project to incorporate the recommendations of the Lead Implementers. This highlights the benefits the NICS as a whole has received from the experiences of the three Lead Implementers. The Records NI Project is extremely appreciative of their cooperation in developing an internal knowledge base. It is recognised that their achievements are due to the considerable effort they have put into their projects.

Despite the measures referred to above, it is expected that further lessons will be learned during the implementation. These will be channelled back into training so that the courses evolve to reflect any difficulties experienced by NICS Staff.

Lead Implementation Top Ten Lessons Learned

To maximise the investment in the EDRM System the lead implementation project managers recommend that departments should continually reinforce good management and best practice. They have produced a summarised list of ten recommendations:

1. All the benefits initially perceived will not be realised unless the full functionality of the system is utilized; the EDRM culture change will not be embedded and staff use of the system will decrease if relevant training and full functionality are not developed ;ongoing resources are needed to undertake this process.

2. Senior management must lead by example and mandate the use of TRIM and support the business and cultural change by acknowledging TRIM as the single repository for electronic information.

3. Frequent reviewing of staff training needs, management processes and monitoring the uptake is required i.e. refresher, advanced or more specific training for staff who may require it.

4. Adequate resources need to be in place to undertake the interim management tasks associated with maintaining a quality EDRMS.

5. Adequate resources in both staff and time need to be available to develop and review the FilePlan on an ongoing basis.

6. Delayed development of the File Plan will have an adverse impact on implementation.

7. The corporate decision on deletion of documents and associated data is recommended as the three lead implementation departments have all approached this functionality in different ways.

8. It is necessary to review the TRIM configuration to meet business needs.

9. It is important to promote good practice in information management by monitoring the use of naming conventions.

10. To maximise the full potential of the TRIM solution staff must understand their specific role and responsibility in managing information.

Records NI Implementation
Measures taken to address the Lessons Learned

1. All the benefits initially perceived will not be realised unless the full functionality of the system is utilized; the EDRM culture change will not be embedded and staff use of the system will decrease if relevant training and full functionality are not developed; going resources are needed to undertake this process.

For the Records NI Implementation, it has been agreed that the default position will be automatic integration between MS Office and TRIM. Those users with a genuine reason not to have compulsory automatic integration (for instance, it interferes with their use of a business application) will have their use of TRIM monitored to ensure they are using it in an appropriate manner.

It has also been agreed that e-mails will be limited to a defined (probably 3 months) life expectancy whereupon they will be deleted if they haven't been saved within TRIM.

While the two approaches above will ensure a take-up of TRIM, this will be accompanied by a rigorous training and awareness campaign. All departments have already invoked awareness strategies. A full and tailored training programme will be provided by Steria, the Managed Service Provider (MSP) including, documentation, floor-walking services and on-line and telephone help facilities. This will be supplemented in all departments by a distribution of fully trained "power" and "administration" users (approximately 1000 and 100 respectively across the NICS). The initial training will cover the basic functionality of TRIM; on-going work will have to develop user skills to avail of more advanced functionality and features.

The processes are therefore in place to address the initial culture change but it will still take a sustained effort and resource in all departments to avail of the functionality in the long term and therefore the associated benefits. This is essential as experience in some organisations has shown a decline in use of the EDRM after the implementation project has been completed. On-going monitoring of usage facilities will be in place but departments will have to avail of them.

2. Senior management must lead by example and mandate the use of TRIM and support the business and cultural change by acknowledging TRIM as the single repository for electronic information.

The Records NI Central Project Team has already carried out presentations to each of the Departmental Senior Management Boards. Within each department, the awareness strategy is addressing the need to demonstrate senior

management buy-in. The implementation of Records NI has also been included as a vital component of the Reform Agenda to raise its profile. However, it is critical that the level of senior management support in all departments is monitored and maintained during the implementation and bedding in periods.

3. Frequent reviewing of staff training needs, management processes and monitoring the uptake – i.e. refresher, advanced or more specific training for staff that may require it.

The Managed Service Contract with Steria includes a wide range of regular reports on many things including the uptake of the system across the NICS. On-going training requirements are covered in the Managed Service Contract under additional services, which would need to be funded by departments on an individual basis. In addition, there is an on-line facility geared to further develop the initial basic skills obtained at the initial training course. While this is geared more towards staff who will seek greater knowledge of the system, experience from the Lead Implementers suggests that workshops at branch level could bring greater awareness (the Records NI central project team, while it exists, can coordinate this but something would need to be put in place for the long term).

4. Adequate resources need to be in place to undertake the interim management tasks associated with maintaining a quality EDRMS.

The Departmental Information Management Branches with assistance from their Local Information Managers are a key resource in accommodating the implementation and then operational stages of EDRM. It is essential that this structure remains within each department, not just to deal with the implementation but also the on-going operation.

5. Adequate resources in both staff and time need to be available to develop and review the File Plan on an ongoing basis.

This relates to Lesson 4 above, as one of the key elements in operating an EDRM is maintaining the file plan. Again, the Departmental Information Management Branches with assistance from their Local Information Management will be a key resource in developing and reviewing file plans. As stated above, it is essential that these resources remain in each department.

6. Delayed development of the File Plan will have an adverse impact on implementation.

Each department has now developed at least a draft version of their file plan and has committed to testing it in a live environment (e.g. a document management system or in a Windows folder environment). All file plans have been forwarded to Steria to enable an assessment of how much further development of them is required prior to uploading them into TRIM.

Steria is working with departments to make any refinement necessary and is responsible for uploading the file plans into TRIM.

7. The corporate decision on deletion of documents and associated data is recommended as the three lead implementation departments have all approached this functionality in different ways.

NICS Policies and Procedures for the Management of Electronic Information are currently being developed. Once is has been completed it will be signed off by the Interdepartmental Working Group.

8. Reviewing the TRIM configuration to meet business needs.

To avail fully of the experience of Lead Implementers and those departments involved in Model Offices (DARD, DFP, DHSSPS, DSD and DoE), the Central EDRMS Team arranged an internal NICS workshop in June 2006. The objective was to develop a better understanding of the implications and merits of the many configuration options within TRIM.

Steria has run a series of configuration workshops in October 2006 through to November 2006 to understand the corporate and business requirements of the NICS Departments. This will enable departments to make an informed decision on the TRIM configuration.

In addition, the lead implementers have reviewed their own configurations in line with the NICS developments and in order to prepare for a 'migration plan' to the central service next year.

9. Promoting good practice in information management by monitoring the use of naming conventions.

Naming conventions will be addressed in the NICS Policies and Procedures for the Management of Electronic Information Guidance referred to above. A focus group, with PRONI representation is taking the lead on this. When finalised they will establish the policies and procedures and the training will then impart them to users. However, as with many of the lessons referred to already, on-going monitoring will be required to ensure that they are being adhered to.

10. To maximise the full potential of the TRIM solution staff must understand their specific role and responsibility in managing information.

This has been covered in the initial awareness campaigns and will then be reinforced during the training. The objective of the training is to address the business and culture change as well as the technical issues of using an EDRMS. The one day basic training course procured from the Managed Service Provider will include 50% technical and 50% on business/culture change (reflecting the

NICS Policies and Procedures for the Management of Electronic Information).

Lead Implementers have in some instances, formalised the roles and reflected this in PPAs and PDPs. This is something which should become standard across the NICS once EDRM has been implemented.

Department of Enterprise Trade and Investment (DETI)

Second Lessons Learned Report

October 2006

Background

As one of three lead implementing Departments, DETI began using TRIM to manage its electronic documents and records in January 2005. Initially 70 users in three branches in the Department (Information Management Branch, Information Technology Branch and Personnel Development Branch) received TRIM as part of the lead implementation phase. This initial implementation phase provided the opportunity to 'test drive' TRIM prior to rollout across the wider Department and also to allow the TRIM administration team to gain experience in implementing an EDRMS.

This initial implementation phase was formally closed by the Project Board in June 2005, and feedback from this stage of the rollout was gathered to inform the first EDRMS lessons learned report produced by the three lead implementing Departments in the same month.

Since then, the rollout has moved on considerably. An implementation plan for the wider rollout to DETI (referred to internally as the Phase 2 rollout) was developed in consultation with senior managers in each business area, and the Phase 2 rollout commenced in June 2005. DETI is now the single largest EDRMS implementation in the NICS with 540 users (approximately 75% of eligible staff in the Department), with the remainder due to receive TRIM by the end of 2006 or soon thereafter. It is anticipated at this stage that DETI will migrate to the managed service at the end of 2007 once all other Departments have received TRIM.

Throughout the DETI implementation process, the system (and associated file plan) has been used and tested in a live environment and while efforts are continuing to monitor and improve uptake where appropriate, the system is now largely stable and is firmly embedded as one of the primary IT systems within the Department. Furthermore significant experience has been developed and important lessons learned in all three lead implementing Departments, which will be invaluable in helping to shape the NICS wider rollout. While it is expected that some configuration changes will be required to streamline the DETI system for the managed service implementation for the NICS, the understanding has always been that the configuration adopted by the three lead implementing Departments (which are all broadly similar) will form the basis for the managed service provision.

Section 1: Implementing an EDRMS

1.1 Raising awareness

- Pre-training information seminars were held for all branches as part of the EDRMS implementation. These sessions included a demonstration of TRIM as it was found from the lead implementation phase that staff had difficulty grasping the concept of an EDRMS without seeing the system in operation. Feedback has suggested that staff found this aspect of the information sessions particularly useful.

- As part of the arrangements for these sessions, a choice of dates or sessions were offered for larger branches to ensure branch cover and to accommodate part-time working etc. This helped to ensure a higher level of attendance. However there were several instances where attendance at these sessions was very low, resulting in a lack of understanding of the policies and procedures involved in using an EDRMS. This problem was raised with branch management to ensure that they were aware of the importance of attendance and to seek their support.

- In addition to these information sessions, articles were also placed routinely in Staff Brief, the Departmental magazine (Newsline) and a quarterly e-zine. These articles aimed to raise awareness of the rollout and to provide an update on progress for all staff.

- Feedback from users in relation to awareness raising has generally been very good, with 87% of respondents feeling that they had been given sufficient information on TRIM prior to receiving their training. Some users have commented that promoting the benefits of TRIM to the user, rather than focusing on why the Department is implementing the system would have been more meaningful, while others felt that including documents and folders of direct relevance to individual branches in the TRIM demonstration would have been useful. These points are being taken on board for the remainder of the DETI rollout.

1.2 Training

- A key lesson learned from the lead implementation phase had been the need to ensure an adequate training resource for the EDRMS rollout. While training as part of the DETI lead implementation had been via the train-the-trainer approach and feedback from staff had been largely positive, it was found that lack of a back-up trainer was not appropriate, particularly given the tight timescales involved for the rollout. The decision was therefore taken for the wider Departmental rollout that an external training provider, Sureskills, would be used to deliver all future training.

- Feedback on the training provided by Sureskills has been very good. In particular, all respondents rated the trainer's knowledge of TRIM as very good or satisfactory, while 95% of respondents said that the training had met their requirements satisfactorily or completely. There was a slight concern that in some instances staff were being told information relating to policies on the use of TRIM within the Department which was outside the scope of the training and may not always have been factually correct. In hindsight, it would have been advantageous for a member of the TRIM Administration team to sit in on some training courses to gauge content of the course.

- Two levels of training were delivered to staff – a half-day end user training course for all users, and a full day Power User course for nominated super users in each business area. Feedback from both courses was good, although some staff felt that the end user course wasn't long enough to take everything in. However it was highlighted to staff that the purpose of this course was to provide a basic overview of the system and that more in depth knowledge would be developed once they started to use the system in a live environment.

- Nominated super users were encouraged to attend both an end user and power user course to ensure that they had a good understanding of the system. However given that these courses were often only a week apart and that the end user training mirrored the first half of the power user course, it was accepted that some staff may not see this as a good use of their time. In these instances, only power user training was provided.

1.3 Delivering user support

- User support within the Department has taken a three-tiered approach:

  - Initial support provided by branch super (power) users.

  - If required, call logged onto HEAT system by Callcentre staff and forwarded to member of TRIM administration team to address.

  - Problem escalated to Tower helpdesk if unable to be solved in-house.

- Super (power) users were identified in each business area, and their primary function is to provide local user support, as well as acting as a contact point for the TRIM administration team. This has been particularly successful in some business areas; due primarily to the person nominated for this role and has helped ensure that the rollout of TRIM has been successful from the outset. In other business areas however, super users either have not been sufficiently motivated to provide this function or have not been encouraged by their managers to carry out this role. In these branches, the TRIM implementation has been less successful. It is recommended therefore that the role of TRIM super user (and indeed the use of TRIM and records management in general by all

staff) needs to be factored into individuals' Personal Development Plans from the outset to ensure that it is recognised as a core element of their job.

- The TRIM helpdesk is currently manned by 2 members of the TRIM administration team, with additional technical support provided by a member of IT Branch. Feedback on the service they provide has been excellent. All members of the team are now extremely knowledgeable on the TRIM system and are able to deal with the majority of TRIM queries quickly and effectively. This has been helped considerably by their access to the HEAT system and the use of specialised software (DameWare) which allows them to take remote access of users' machines, thus allowing them to address queries quickly and if necessary providing a means of demonstrating to the user the correct procedure to use.

- The TRIM Helpdesk is also responsible for dealing with folder requests within TRIM. An electronic pro forma was developed for the IMB intranet site and once this is completed by a user, their request is sent to a TRIM mailbox which can be immediately accessed by TRIM Helpdesk staff. This system is now working very well, with a normal turnaround time of 5-10 minutes once the request is received. A similar electronic form has recently been developed for deletion requests.

- At times the work of the TRIM Helpdesk can be pressurised as users expect an immediate response to their query whether it is high priority or not, and will frequently telephone TRIM administrators directly rather than going through the correct procedure of logging the call with the Departmental Helpdesk first. On several occasions an email reminder has had to be issued to all users to remind them of the correct procedure. Targets are now being established for the TRIM administration team and these will be conveyed to staff so that all sides are aware of the agreed turnaround times for both folder requests and TRIM queries.

- Any calls which cannot be addressed by the TRIM administration team are escalated to the Tower helpdesk. While this was used frequently in the initial stages of the rollout, the Department has become less reliant on Tower, due mainly to the increased expertise of the TRIM administration team but also a growing lack of confidence in the advice given by Tower. There have been several instances were either the Helpdesk has been unable to identify solutions or has given the wrong advice (resulting in further problems being created on the system). While Tower has stated that their customer base has increased by 200% in the last year, there has been no visible increase in their helpdesk resource, resulting in a poor level of customer service being delivered.

- Post-training, floorwalking support from Sureskills has been offered to all branches. This has had a mixed response, particularly in relation to timing of this type of support and the level of use. While this was automatically arranged after training had been completed, there was very limited uptake so a decision was made to offer this service on a needs basis only to ensure value for money. However recent feedback suggests that while this offer was made directly to

super users in each business area, this was not passed on to branch staff, resulting in a lack of awareness of the availability of floorwalking support. This is now being addressed by offering floorwalking directly to all end users and more recently there has been an increased uptake of this service.

1.4 Ensuring Senior Management commitment

- From the outset of the DETI implementation, it was recognised that senior management commitment to and support for the rollout of TRIM is crucial in ensuring success. While some senior managers were supportive of the rollout, in many cases there was no visible commitment to EDRMS from managers in business areas and indeed in some cases managers were openly dismissive of the implementation. This has had a detrimental impact on the implementation.

- This problem may have been due in part to insufficient communication with senior managers in the organisation to highlight the importance of the rollout and the need to ensure compliance among staff. In order to address this problem, a number of actions were taken, including liaising directly with branch managers at an earlier stage of the rollout to provide background to the project and update them on progress. A paper was also presented to the Departmental Senior Management Team seeking their support for the implementation and as a result SMT members have endorsed the approach being taken within the Department. This has had a positive impact on the rollout, as managers within each business area now recognise that this is a necessary process that is required to meet the Department's information management responsibilities.

- A key element in ensuring senior management support for and confidence in EDRMS is the ability of their Personal Secretaries to use the system with confidence, particularly given their unique processes for managing records. Within DETI, there may not have been enough focus on this set of users, particularly in terms of their file plan requirements and how TRIM could be customised to meet their needs. This has now been addressed in part, due to the creation of an area of the file plan which is for SPS/PS use only and some one-to-one sessions with these staff to assist them in using TRIM. It is also planned to hold a workshop for personal secretaries and senior management in due course to provide further post-implementation support.

1.5 Configuring an EDRMS

- Since the lead implementation phase was completed in June 2005, the TRIM system has largely bedded down within the Department and is reasonably stable. As such, very few changes to configuration have been made during the course of the Phase 2 rollout, and only occasional problems are experienced with settings mainly at a client (user) level.

- The key to configuring an EDRMS is to keep it as simple as possible, to benefit both users and system administrators. For example, DETI has created only two standard record types (Document and Folder) for the majority of users and these have been sufficient for the Department's needs. For example, the inclusion of a generic 'External Reference' metadata field in the record entry form for the Document record type has helped ensure that the record type is able to accommodate the majority of user requirements for saving a document.

- An additional two record types have since been established for use by Insolvency Branch staff to deal with case-specific documents and folders and these include additional user defined metadata fields to allow TRIM to integrate with a case management system currently being developed. Similar records types are being created for Health and Safety Executive (NI) case management records.

- DETI currently has four user types created within TRIM – Administrator; Super (Power) user; End user and Inquiry user. While other lead implementing departments may have opted for several different Administrator profiles depending on their specific roles (ie records management or technical system support), DETI has opted for only one Administrator profile with full access rights across the system. However the number of administrators has been strictly controlled to ensure that only the minimum required numbers of individuals have this profile, with each administrator fully aware of his or her own role and this has not created any problems for the Department to date.

- At present end users (including super/power users) cannot delete documents from TRIM. This approach was taken at an early stage within DETI for two main reasons: to ensure that users were not able to delete important Departmental records, either accidentally or maliciously and because the process to restore individual deleted documents to TRIM is complex and time consuming. Users are however able to request deletion of documents by a TRIM administrator provided they have a legitimate reason for the request (an electronic form has recently been developed to assist this process). While some users have not welcomed the fact that they cannot delete their own documents, once the reasons have been explained to them they are more accepting of the approach which has been taken.

- Within DETI, end users have the ability to set access controls at document level. This has helped to ensure that users are able to save early drafts or sensitive documents in TRIM with the confidence that they cannot be viewed by others.

- From the outset of the TRIM rollout, DETI introduced personal areas within TRIM to allow users to store non work-related documents. Use of personal folders needs to be monitored on an ongoing basis to ensure this facility is not abused by users routinely placing work-related documents in their personal folder where others cannot access them. The monitoring process is made more difficult by the

fact that a size restriction cannot presently be placed on individual folders within TRIM. It is hoped that this will be addressed as part of the NICS rollout of TRIM.

1.6 File Plan development

- The importance of close correlation between the implementation of EDRMS and development of the file plan is already widely recognised and is being addressed by Departments as part of the preparation for the rollout of TRIM to the NICS. The lessons learned from the DETI lead implementation phase had highlighted the need for file plans to be in place on group drives at least 2-3 months prior to TRIM implementation to ensure staff were familiar with the structure and where to file their documents.

- Considerable efforts have been ongoing throughout the course of the phase 2 implementation to develop branch file plans in advance of the TRIM implementation, including workshops with Local Information Managers prior to the wider TRIM rollout to commence work on their file plans at an early stage. Unfortunately in spite of these efforts, in most cases file plans were not in place sufficiently far in advance of the rollout of EDRMS software. Indeed in some instances a decision was taken to postpone the TRIM rollout for some branches to ensure that file plans were in place.

- This problem was due in part to resource pressures within Information Management Branch for periods throughout the year, as well as conflicting priorities (such as FOI requirements) which meant that there was less focus on the implementation of the file plan at times.

- In addition, there was often a delay within business areas to produce draft branch file plans in sufficient time, due either to other work commitments or a lack of interest on the part of staff within the branch. In hindsight, it would probably have been better to have delayed the wider rollout of TRIM until all business areas had developed their file plans, but due to the tight timescale within DETI to complete the remainder of the rollout to the Department, a decision had been taken to proceed with the implementation as planned. This may have had a detrimental impact on the success of the rollout at times, but hopefully this should not be the case for the NICS EDRMS implementation.

- In order to ensure effective correlation between these two aspects on the EDRMS implementation, the following points should be noted:

    - The nominated individual responsible for file plan development at a local level should be at an appropriate grade to be able to make decisions on structure and format of the file plan and should be knowledgeable about the work of the branch. It may be useful to develop a working group to take forward file plan development for a larger branch. Nominated staff must also

be given the necessary time and resources by their branch managers to carry out this work.

- It is important that relevant staff are fully briefed and understand what they are being asked to do and that there is ongoing consultation with IMB staff throughout the process to ensure all parties are aware of work in progress.

- While file planning requires time and effort on the part of branches, it should be recognised that the file plan will evolve as users gain practical experience of its use. As such, there is an ongoing resource requirement in relation to file planning post-implementation which could easily be over-looked by Departments in the planning stage.

o It should be noted that the file plan which is being used and tested as part of the DETI TRIM implementation has been developed to meet the specific needs of DETI. As such it was never intended that the DETI file plan (and particularly the corporate functions) would be suitable to meet all Departments' needs given the diverse business processes in place across all NICS Departments. Significant business process re-engineering across all Departments would be required before a common corporate file plan could be developed which would meet the needs of all Departments.

Section 2: Maintaining a Quality EDRMS

2.1 Monitoring uptake and use

- Significant and ongoing resources are required to monitor and maintain an EDRMS, something which DETI did not anticipate in the early planning stages of the TRIM rollout. While temporary staff at project management and administrative level were appointed to take forward the TRIM implementation, the need for ongoing administrative support for significant periods post-implementation was not recognised and this is something that now needs to be addressed within the Department, particularly up until the transition to the managed service rollout towards the end of 2007/08 (and possibly thereafter, depending on the approach taken by the managed service provider).

- As outlined in the initial lessons learned report produced in June 2005, DETI quickly realised that users would avoid using an EDRMS if they still had the ability to save onto local group or home drives. DETI has therefore taken the approach from an early stage in the implementation to remove users' ability to save locally where possible. While this is not a popular approach, and most business areas will try their hardest to retain this option, it has had a significant impact on the level of usage in those business areas where it has been possible to remove the local save option. In several branches, the local save option was removed either quickly after go-live or at the same time, and in these business areas the transition to TRIM has been particularly successful.While this approach may not be suitable for every branch, the sooner that the ability to save locally is removed, the easier users will find the transition to TRIM (in some instances the removal of the local save option was delayed for too long, resulting in staff not having used TRIM for a significant period after training.)

- There are several business areas however where it has not been possible to remove the local save option because of existing legacy systems (for example Knowledge Network, FLARE or various databases and linked spreadsheets which cannot be handled satisfactorily within TRIM). In these areas it has been very difficult to force staff to use TRIM and the TRIM administration team has been reliant on senior managers mandating the system in their branches. This has not always been the case, resulting in a poor level of uptake in these branches. Efforts are now underway to identify how these existing legacy systems could be placed together on a dedicated applications server so that branches no longer needed access to their own group drives.

- DETI has recently begun a process of closing down Branch group drives, particularly for those branches using TRIM for several months. It is hoped that this will reduce further the ability for users to continue to save to shared drives. To date there have been no issues raised by staff. It is also planned to remove access to H (personal) drives across the Department in the coming months.

- DETI has yet to implement the 3-month email restriction for its users, as until now the focus has been on rolling out and embedding TRIM in the Department. However it is clear that many users continue to retain large volumes of emails in their Outlook mail folders and until there is a restriction placed on these areas, considerable quantities of Departmental records will not be placed in TRIM. It is hoped that this will be actioned in the coming months, and certainly prior to the transition to the NICS EDRMS managed service.

2.2 Monitoring ongoing training needs

- There will continue to be ongoing training needs in relation to TRIM, either through the need to provide induction training for new entrants or to provide refresher or follow-up training to supplement initial training delivered as part of the rollout. At present new entrants to the Department are being identified and trained as part of the training schedule already in place. Clearly once the implementation in the Department is completed, there will be a need to ensure that new entrants still receive TRIM training at an early stage (if necessary having an initial one-to-one session until an end user course can be arranged).

- Throughout the course of the implementation, there have been recurrent issues identified in all business areas, either through feedback received as part of the evaluation of the rollout or through frequency of particular issues being raised as helpdesk calls. These issues have been addressed through various means, including additional floorwalking support, refresher workshops, reminder emails to staff, development of additional supporting documentation and a Frequently Asked Questions page on the IMB intranet site.

- In particular, a number of refresher workshops have been held for some business areas who had been using TRIM for several months and had identified particular issues which staff were experiencing. These workshops cover refresher training in relation to policies and procedures (e.g. naming conventions, deletion etc), searching in TRIM as well as additional handy hints for users who are familiar with the basic functionality of the system to enable them to improve their use of TRIM. Feedback from these sessions has been very good and in light of this all business areas are being offered these sessions to supplement their initial training.

2.3 Maintaining the system

- As outlined earlier, sufficient resources are required to maintain a quality EDRMS in order to ensure that documents and records are being stored in line with appropriate records management principles. There is a definite requirement for both records management and IT staff to be in place to maintain the system properly.

- For example it was identified as part of the lead implementation phase within DETI that a dedicated IT resource was required to ensure that a proactive, rather than reactive approach could be taken to maintaining the TRIM system within the Department. This IT support was secured prior to rollout across the wider Department and has proved to be beneficial for the in-house implementation. It is unclear at this stage whether this resource would also be required for those departments implementing TRIM as part of the managed service.

- There are a number of key functions which need to be monitored and maintained within TRIM on an ongoing basis, including:

  - Naming conventions: One of the most significant overheads placed on TRIM administrators is to monitor the use of naming conventions within the system. While staff are fully advised of the requirement to adhere to best practice document naming guidelines prior to receiving TRIM, many users will continue to save documents without giving sufficient thought to how they are being named or how they will be retrieved from TRIM at a later date.

  - Filing procedures: Significant effort is required on the part of TRIM administrators to monitor filing practices to ensure best practice is adhered to and this has been very difficult throughout the DETI rollout because of limited staff resources. Some responsibility needs to be placed at branch level to ensure that guidelines are adhered to in order to reduce the overhead on TRIM administrators. Promotion of the benefits to users of adhering to proper filing procedures would probably be the most effective approach in highlighting this requirement.

  - Ghost locations: These are created in TRIM on a regular basis when a document is saved into the system with an author that TRIM cannot identify for a variety of reasons. There is an ongoing need to remove these as otherwise the list of locations within TRIM becomes unmanageable. There is a significant and ongoing overhead involved in managing these ghost locations. Thought will need to be given to how a single cross-Departmental locations list will be managed by individual TRIM Administrators in each Department as part of the managed service roll-out.

  - Staff movements: Within DETI a monthly Staff Movements table is produced by Personnel Branch to advise staff of any new entrants, transfers or cessations/retirements. Members of the TRIM Administration team receive this list in advance of Departmental staff to allow them to update user accounts and locations within TRIM as required. This is made easier by the use of ‘Groups’ within the TRIM locations list to reflect the organisational structure of the Department, as new or transferred staff need only be added or removed from an existing group to ensure they have the appropriate permissions to records in TRIM relating to their specific business area. Where staff leave the Department, their names are added to a ‘zzz’ group

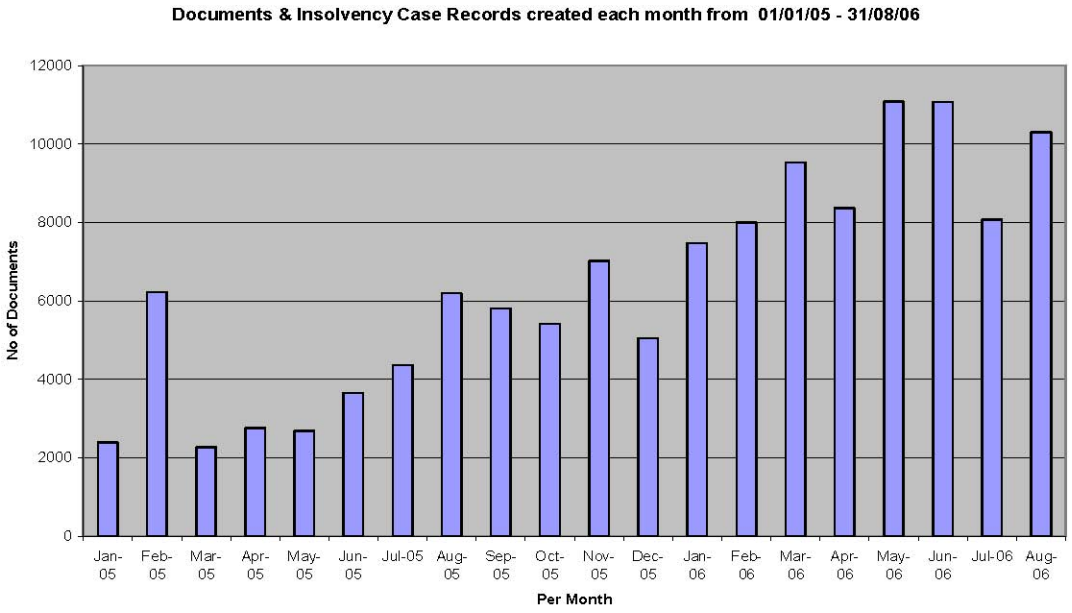
within the TRIM locations list to ensure their details are retained in the system for future reference.

ANNEX A: SUMMARY OF DETI TRIM EVALUATION FORMS - AUGUST 2006
49 RESPONSES RECEIVED OUT OF TOTAL OF 330 ISSUED = 15% RESPONSE RATE (3 SPOILED FORMS) (DNR - DID NOT RESPOND)

QUESTIONS				
PRE-TRAINING AWARENESS				
1. Were you given enough information on the TRIM rollout prior to training?	87% - Yes	11% - No		2% - DNR
2. Did you attend a TRIM information seminar prior to training?	83% - Yes	17% - No		0 - DNR
3. If yes, how would you rate the seminar?	22% - Very good	61% - Satisfactory	0 - Poor	17% -DNR
TRAINING				
4. What level of training did you receive?	9% - Super user	80% - End user	11% - Both	0 - DNR
5. Post-training Knowledge & Skills?	11% - high	61% - medium	28% - low	0 - DNR
6. How would you rate the training by Sureskills:				
(i) trainer's knowledge of TRIM?	54% - Very good	46% - Satisfactory	0 - poor	0 - DNR
(ii) were instructions always clear?	39% - always	61% - mostly	0 - rarely	0 - DNR
(iii) was it at an appropriate pace?	65% - just right	28% - too fast	7% - too slow	0 - DNR
7. Did the training sessions meet your requirements?	17% - completely	78% - satisfactorily	5% - not at all	0 - DNR
DOCUMENTATION				
8. How useful were the EDRMS User Guidelines?	17% - Very good	67% - Satisfactory	7% - poor	9% - DNR
9. How useful was the TRIM Desktop User manual?	17% - Very good	72% - Satisfactory	7% - poor	4% - DNR
10. How useful was the TRIM Desk guide?	26% - Very good	70% - Satisfactory	2% - poor	2% - DNR
11. Have you accessed any TRIM supporting documentation on the IMB intranet?	17% - Yes	61% - No		22% - DNR
TRIM USER SUPPORT				
12. Did you use the floorwalker from Sureskills?	35% - Yes	63% - No		2% - DNR
13. Did you need to ask/clarify anything with the floorwalker?	26% - Yes	13% - No		61% - DNR
14. Were you satisfied with the response received?	31% - Yes	2% - No		67% - DNR
15. Did you find the offer of support from a floorwalker useful?	54% - Yes	11% - No		35% - DNR
16. How have you found the support provided by IMB staff?	54% - Very good	31% - Satisfactory	0 - poor	15% - DNR
17. (SPD only) How did you find the follow-up TRIM refresher workshop?	83% - Very good	17% - Satisfactory	0 - poor	0 - DNR
USE OF TRIM & THE FILE PLAN				
18. How user friendly do you find TRIM?	11% - Very	61% - Satisfactory	28% - not at all	0 - DNR
19. Do you find the file plan structure easy to understand?	24% - Very easy	63% - Satisfactory	11% - not at all	2% - DNR
20. How confident are you at knowing where to file something into TRIM?	13% - Very	65% - Fairly	20% - not at all	2% - DNR
22. How would you rate the search facility in TRIM?	9% - Very good	61% - Satisfactory	26% - poor	4% - DNR

Annex B: TRIM USAGE STATISTICS: Period 31/08/2004 to 21/09/2006			
			Comments
	Average number of documents created per ‘active’ user	467	
	Most documents registered by a single user	6,073	This represents 4.04% of total documents
	Least number of documents registered by a single user	0	
	Total number of documents in TRIM by 21/09/06	152,283	
	Total finalised documents in TRIM by 21/09/06	6,873	This represents 4.51% of total documents
	Total number of documents in TRIM by 21/09/06 including all revisions	316,953	
	Average number of revisions per document	4.8	
	Total number of related documents in TRIM by 21/09/06	52	This represents 0.034% of total documents
	Total containers/folders in TRIM by 21/09/06	12,113	
	Total number of empty containers in TRIM on 21/09/06	4,118	This represents 34% of total folders
	Average documents per container/folder	12.5	
	Average documents per container/folder excluding empty containers/folder	19	
	Average number of documents created per ‘active’ user	467	

Department of Enterprise, Trade and Investment



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Public Record Office of Northern Ireland (PRONI)
Second Lessons Learned Report October 2006

The EDRM Lead Implementation Project at PRONI had three main aims: implementation of the product to improve business efficiency; improving records management; and informing the NICS as well as DCAL as part of the wider project. The drivers were:

- PRONI's internal business needs.
- DCAL Implementation of EDRM.
- NICS EDRM Managed Service Provider roll-out.
- Continued development of PRONI's Records Management role and profile.

Since implementing the software at PRONI, the new work identified in this report reflects the need for sustained commitment to Electronic Document and Records Management. This will, at a minimum, involve an internal core resource requirement similar to that of the original project, however additional work will arise that will involve other PRONI business areas. In addition, this comes at a time when 50% of the original project team have or will be leaving PRONI in the near future – resulting in a loss of valuable skills and experience despite the training of others to undertake EDRM roles.

PRONI as a lead implementer went live with EDRM on 17th January 2005 to all staff on one site, as an implementation this had obvious advantages for the Record Office. This report focuses on the lessons learnt from a full implementation which has been operating for nearly 2 years. During this period PRONI was de-agentised and is now a Division within the Department of Culture, Arts and Leisure. Change management will be of central concern for both PRONI and DCAL, when introducing 2 sets of TRIM users to the one system in a year's time. As such, PRONI will have to plan carefully for migration to the Managed Service Provider and implement an interim plan to ensure continuity with NICS and DCAL policies.

As PRONI is the archival authority in Northern Ireland, it is essential that the Record Office develops standards and policies on the long term access to digital records. The NICS and wider public sector in Northern Ireland are forging ahead with EDRM and other electronic line of business systems – taking a coordinated approach. There have already been demands on PRONI to provide expert advice and this is likely to significantly increase in the near future. Initial Guidance on Digital Records Disposal Scheduling was published on our website in May 2006, however this is only Part 1, focusing on disposal requirements related to a functional file plan classification and configuration issues to be addressed prior to EDRM implementation. Future guidance on this topic is urgently required from PRONI outlining the ongoing information management requirements in managing EDRM disposal, appraisal and identification of digital records for transfer to PRONI as digital archives.

PRONI's internal business needs

Activities	Post Implementation Issues	New trends & developments
Internal PRONI - EDRM Management	Limited management of system, mainly due to lack of resources post-project and reassignment of project team to other duties Current areas covered: • Systems Manager – user administration; logging issues with Tower; demos & induction training, 25% time allocated of 1 member of staff. • Technical Administration – provided by IT re-indexing & server maintenance. • Records Management – ad-hoc responding to queries and monitoring hybrid file creation.	PRONI's Post Project Evaluation – has highlighted a number of areas that need to be addressed. An EDRM system is a tool to manage an organisation's corporate records and as such, requires active and ongoing management, monitoring and development. PRONI is now part of the digital/'e-records world' – and out of necessity must proactively consider what our new business needs are as a result – ie. Digital Archiving, scanning, skills, etc. The areas to be developed include, amongst others: • Further and advanced training of PRONI staff. • Development and testing of the product to gain better business efficiencies (a couple of examples would be workflow and digitisation projects). • Testing and implementation of PRONI Disposal Schedule/Review of records prior to migration to the Managed Service. • Integrating EDRM with other systems (e.g. Content Management) for complete management of PRONI's information resources.

Activities	Post Implementation Issues	New trends & developments
		• Review of hybrid filing system and developing guidance on scanning to meet business needs. • Establishment of an internal User Forum for Power Users to develop staff skills, communication, and coordinate with Tower's NI User Group. • Investigation of the benefit to PRONI of other modules available, ie. Document Assembly etc. The continued development, management and training in EDRM is a lesson learned from other organisations, such as the British Library. It is essential that we do this work internally to further develop the existing skills gained from implementation to enable PRONI to support our statutory requirements and keep our customers/stakeholders informed of policies and best practice – the NICS and wider public sector.

PRONI Advanced Training Requirements

Training Area	Audience	Training to include
Refresher Training (like DETI)	All PRONI Staff	Searching - complex and saved searches; searching in a folder; finalising records, creating supercopies, security/access controls; establishing and updating my containers/favourites; RM Policy; creating new versions of documents and naming conventions.
RM Principles	Any new staff	Why is records management important, what is a record, what to file, where to file it, naming conventions etc.
Specific Topics	Targeted PRONI staff, as required	Email management (linked folders, sending emails from TRIM, catalogue on send, attachments launching); version control and relating documents; Document Queues, scanning and redaction; Reports; Workflow.
Power User Workshops	All Sectional Reps	NICS Policies and moving to MSP; Moving documents and deleting; Creating containers; giving advice on naming conventions; and Disposal requirements.
MSP update workshops	All PRONI Staff	TRIM 6; Personal Containers; new NICS policies etc.

Migration to MSP – PRONI's Draft Interim Plan based on NICS EDRM Policy review

Activities	Post Implementation Issues	New trends & developments
PRONI's migration planning to the Managed Service, as part of DCAL	Developing 2nd Lessons Learned & analysing benefits from PRONI's implementation.	Production of 2nd lessons learned report and interim plan. Undertaking Benefit realisation measurements and feeding into the wider NICS project.
Keeping informed of DCAL approach to implementation by participation in Project Team and subgroups (as mentioned above).	Resource Implications and proactive planning to minimize the level of change associated with this process. Participation of selected PRONI staff in MSP meetings and preparation activities.	Possible areas of change will include – • Update configuration and permissions in TRIM. • Review and update of File Plan. • Review and update Policies in line with DCAL and NICS. • Review all records held in TRIM for retention/destruction prior to migration to MSP. • Technical infrastructure review, including possible early upgrade to TRIM Context 6.1. • Re-training of all PRONI users.

Activities	Post Implementation Issues	New trends & developments
Interim Plan	Resource Implications are central to this next stage at PRONI.	Some areas the interim plan will need to address – • User roles – 'end' no delete, request from power users; LIMs (appoint – discuss with DCAL) disposal process; System Admin – 2 defined roles 'day to day' and 'IM' change permissions and discuss with DCAL. • File Plan – Corporate – PRONI review 'agency' in line with DCAL, Change Control Process for 2 live systems; review pending NICS Corporate functions approach; PRONI Reference Library – review and delete. • Containers – 300 documents limit, create rule and test opening new parts. • Record Types – container (change name in PRONI) and add user defined field re. 'why' for hybrid filing, personal containers 25 document limit, take away local button/x:drives, lock desktops, test local button requirements, add user details re DPA. • Interlink/integration with TRIM – e.g. line of business applications and databases. • Emails – 3 month rule to be reapplied.

Activities	Post Implementation Issues	New trends & developments
		• Security – caveats/access controls (read and edit). • Locations – test in relation to security above, groups and users. • Disposal Schedules – Corporate Generic List, Build in TRIM & export, PRONI's Operational Function, Appraisal procedures re. existing lead implementers, documents/records final, migration plan to TRIM 6 (transition point where 'archival' ingest issues etc., need to be considered).

NICS participation/projects

Activities	Post Implementation Issues	New trends & developments
Participation in NICS EDRM Managed Service roll-out	Interdepartmental Working Group; File Plan sub-group; Policies sub-group; Housekeeping sub-group; Benefits sub-group; MSP Procurement Evaluation Team. Continued and active co-operation with the other NICS Lead Implementers.	Benefit – get advice out there centrally and keep informed of NICS approach. For continued involvement in this - the time commitment is increasing, heavy reliance on PRONI advice due to our experience to date and expertise in records management. As the MSP negotiation progresses – PRONI is expected to advise, in detail, on future requirements for digital archiving.
Involvement in Project Boards and Teams	DCAL, OFMDFM and DETI	DCAL – our own Department requested involvement in the Project Team, and various sub-groups – as the department is preparing and roll-out progresses PRONI's participation will inevitably increase. DETI – Quality Assurance role, indicating again the recognition of PRONI's experience in EDRM and records management.

PRONI's Records Management role

Activities	Post Implementation Issues	New trends & developments
File Plans	NICS Corporate File Plan – ongoing guidance and advisory role. DCAL Corporate and Operational File Plan – Quality Assured.	Quality Assurance File Plan Reports for NICS Departments as required. Guidance and advisory role from PRONI with the NICS and the MSP is expected to continue. Indications are that wider public sector are developing functional file plans which also require quality assurance from PRONI.
Disposal Scheduling	Development of generic disposal schedules for EDRM covering the 7 corporate functions. Quality assurance of all operational functions schedules from the NICS Departments has to be undertaken as part of the wider EDRM roll-out.	Guidance on Digital Records Disposal Scheduling – Part 1 has been published. This covers, file plan classification and configuration issues to be addressed prior to EDRM implementation. Part 2 Guidance is urgently required – outlining the ongoing information management requirements in managing EDRM disposal, appraisal and identification of digital records for transfer to PRONI as digital archives.

PRONI's Records Management profile – promotional: Presentations; Conferences; Demos; Prof Associations

Activities	Post Implementation Issues	New trends & developments
Presentations to various organisations have been given on records management topics & lessons learned.	Information Managers Forum; Further Education Sector; Workshop to Society of Archivists, Ireland; Information Practitioner's Group; RM Seminar at DCAL, Interpoint; NISRA; Local Government; Education Boards; NICS Model Office sub-group etc.	Increasingly more specific and detailed advice on preparation and implementation is being requested. In addition, there have been a number of invitations to address Departmental Senior Managers – outlining the importance of EDRM and the resource implications as well as promoting the PRONI model for implementation as best practice.
PRONI's Records Management Conference	2004: Paving the Way for EDRM – Project Manager Cecelia McCormick gave a presentation on PRONI's Preparation for EDRM. Workshops were given on file plan development, basic records management training, and disposal scheduling. 2005: EDRM Moving Forward – Zoë Smyth gave a presentation on EDRM lessons, change and benefits. A panel session was organised to address the significant interest in EDRM preparation and lessons – Cecelia McCormick, Larry Murray and Zoë participated (with other lead implementers, NICS and guest speaker).	2006: Embedding RM in Business – this year's conference will be focusing on the challenges and opportunities ahead next year for records management in Northern Ireland. It will cover, FOI and Section 46 compliance, new networking and training opportunities, records management skills, and conclude with the NICS EDRM roll-out. 2007: Society of Archivists will be holding a 4 day conference in Belfast in late August. It will include a day focusing on EDRM in Northern Ireland, UK and internationally. PRONI is taking a leading role in the local organisation of this conference and this will take the place of our individual annual conference.

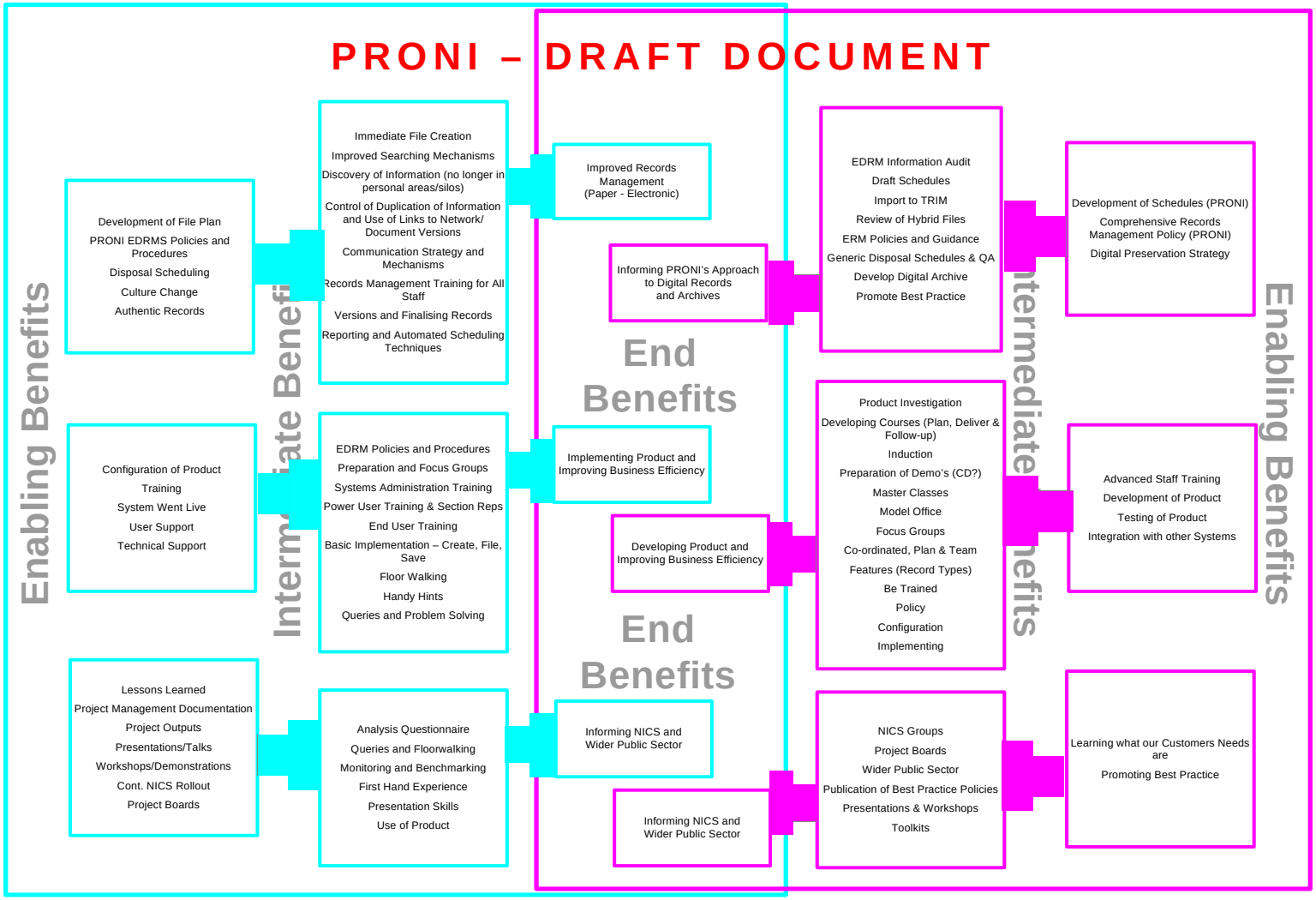
Activities	Post Implementation Issues	New trends & developments
Demonstrations	DOE - development of model office DCAL DHSSPS Arts Council CCEA DRD and requests for demos continue…	Interest in viewing a working EDRM and file plan – raising awareness. Further to awareness sessions - DCAL request to develop 'model office environment' to provide initial familiarisation and training for staff. Technological side – increasing interest in the system architecture.

PRONI's Records Management profile – Liaison/Advisory – Queries, networking, archiving

Activities	Post Implementation Issues	New trends & developments
Responding to requests for information and assistance from the NICS and Wider Public Sector	NICS Departments; NI Court Service; PSNI; Education and Library Boards; Arts Council; East Down Institute; NI Policing Board etc.	While most requests are specifically about EDRM issues, increasingly more information is being requested on retention and archiving of any type of electronic record. Note: PRONI's remit to acquire electronic records extends beyond EDRM, to electronic business systems and the private sector. Work in this area which will run in parallel will also contribute to the development of PRONI's digital archive.
Liaison with other bodies, locally, nationally and internationally	Tower's NI User Group and UK/Euro User Group; NICS/NI Wider Public Sector bodies; Staffordshire County Council; South Tyneside Council; Lawrence Livermore National Laboratory, California; New South Wales Australia; The National Archives; Digital Curation Centre; Digital Preservation Coalition	Benefits – raises PRONI's records management profile and allows a two-way exchange of information based on practical experiences. We can expect this to continue and increase.
Raising PRONI's profile in professional sector	Presentations have been delivered to: • Society of Archivists (SOA) – Glasgow • Records Management Society (RMS) – Bournemouth • Facilitated a booked out Workshop on	To date, Zoë Smyth has carried out research and written articles and presentations in her own time and as a result PRONI has received national and international recognition. Zoë has recently been asked to give a presentation on long term access issues in relation to digital

Activities	Post Implementation Issues	New trends & developments
	Implementing EDRM to the Society of Archivists Ireland • American Records Management and Administration (ARMA) International – Chicago • PRONI's RM Conference – Belfast • Tower Software's Conference – Surrey Articles have been submitted & published in professional journals and online: • Journal of the Society of Archivists (JSA) • Records Management Journal (RMJ) • ARMA paper – published online for delegates	records including EDRM at a Digital Curation Centre workshop. PRONI has also been asked to give a full-up presentation on implementing and working with EDRM to the Society of Archivists, Ireland. This should be seen as only a starting point – further interest is expected because of PRONI's EDRM lead implementation role and contribution to the coordinated approach of the NICS roll-out. Continued involvement in the professional sector is necessary to maintain this profile.

Benefits



(BLUE) INITIAL BENEFITS ISSUES DURING IMPLEMENTATION –
(PINK) ONGOING WORK TO REALISE FULL BENEFITS AT PRONI

Hybrid Filing Review

PRONI closed the paper file registry system when TRIM went live on 17th January 2005. PRONI's EDRM Policy stated: the opening of new paper files in relation to TRIM is only permitted if the record is (a) protectively marked 'confidential or above' due to network restrictions, or (b) the records concerned are legally signed and scanned in accordance with BS - PD0008 standard. It was decided to review the opening of new paper files after the system was operating for a year. The review indicated that there was a lack of adherence to the new policy and the unnecessary creation of paper files was still taking place.

As a result, there was a risk that with only a slightly reduced rate of file creation in PRONI, approximately 63.5% compared with the previous year, that:

- The paper file registry and associated management costs were still being utilized.
- Filing cabinets were not being cleared – re-creating old problems of information silos and possible duplication of information.
- The culture of sharing information was not totally embedded in PRONI and management of corporate records, a key objective of EDRM was not being fully realised.

PRONI staff were actively requesting information in electronic format but hard-copy correspondence still arrived which had to be managed. Incoming correspondence in hard-copy format during 2005 resulted in 120 new paper registered files being opened; this was in comparison to 189 opened in the year prior to EDRM (see Annex 2.6). When opening a new paper file it was to be cross-referenced within TRIM; however a report from TRIM illustrated that only 52 files and 16 continuation files were correctly cross-referenced. As a result only 56% of newly created paper registered files were referenced on TRIM (see Annex 2.6) - the management of a dual hybrid system was clearly breaking down.

To address the issue of incoming correspondence in hard-copy format, document level scanning directly into TRIM was investigated. PRONI had 5 individual desk document scanners but these were not available to all staff and scanned per page rather than at document level with multiple pages. It was recommended that PRONI upgrade the photocopier as a central network scanning facility and train nominated staff, complying with Workplace 2010 initiatives. Document scanning using this option provides typical speeds of up to 64 pages per minute (duplex) and training was provided in-house in September 2006 directly to nominated staff across PRONI. Once documents are scanned, staff can go back to their PC and open the TRIM Queue for their business area and simply check the document in. The disadvantage was the delay required to purchase the additional module, due to the nature of the existing contract. To cope with the delay before the module was available and staff trained, the temporary use of individual desk scanners was promoted.

Technical

PRONI has now moved to a full MS Office 2003 environment and although this has stabilised the appearance/non-appearance of TRIM icons in MS Outlook there has been some loss of integration with MS Visio. In addition, the non-appearance of TRIM icons when using MS Word as the MS Outlook email editor remains.

PRONI currently have a mixture of Windows 2000 and XP Clients. The upgrade and/or migration to TRIM 6.1 will necessitate upgrading all 2000 Clients to XP due to TRIM Client requirements.

Further to the first lessons learned report, there has been no resolution to the issues of excel spreadsheet linked formulae, or the creation of 'ghost' locations. In fact, the creation of 'ghosts' has increased with the upgrade to MS Outlook 2003 in that internal locations periodically do not appear to be recognised.

PRONI's initial implementation used the TRIM Viewer as the default for email and other MS Office documents. Due to inaccurate and incomplete representations of documents PRONI are encouraging users to adopt the native application to view documents. This is done by going into Tools/User configuration/Options/Viewer Tab, adding the appropriate document extensions and checking the check box at the bottom of the dialog box (to enable native email application as the viewer).

Automatic deletion of emails from user accounts after they are more than 3 months old was introduced at PRONI in June 2005 – once deleted from users inboxes, sent items and associated folders they got a report and the emails were left in the deleted items for one week before a final automatic deletion. Due to the roll-out of Server 2003 Migration, the automatic email deletion process was suspended around November 2005. PRONI has requested this be re-instated as part of our preparations prior to migration to the NICS Managed Service Provider.

In response to the review of hybrid file creation at PRONI since going live with EDRM, a decision was taken to utilise TRIM's ad-hoc scanning facility through use of Document Queues. The existing central photocopier was upgraded to an all in one printer, copier, scanner linked to network shares which in turn interfaced with TRIM. Users can now scan directly to TRIM reducing the need to create unnecessary paper files.

Annex 1 – PRONI Survey results

PRONI issued an all staff survey one year after going live with TRIM and collated the results in April 2006. There was a low response rate (24%) and some of the findings are summarised below.

One responder was new to PRONI and another was on secondment (without access to TRIM).

Training – when asked about the provision of initial training 10 responded that this was very good, 7 fair and 1 poor. The new person had received one-to-one training and responded this was in the 'fair' category and indicated that they would have found records management beneficial. All respondents agreed that there was a need for additional training on TRIM.

Support – When asked to name their Section Rep (Power User) 5 failed to do so. 18 indicated that they required help from the Section Rep occasionally and their queries covered a range of issues, such as hardware, software and records management. Only had used the Tower User Manual provided at the initial training but did not find this user friendly. 6 used online help function and satisfaction levels varied from very good to poor – there remains a significant number of staff who are not aware of the online help function.

For a period of time PRONI issued 'Hint of the Week' and 55% of staff who responded found this beneficial but a disappointing 27% indicated that they had never used it. There was significant support (60% of respondents) for the idea of establishing an internal User Group and respondents indicated there was a need for clear terms of reference for such a group.

File Plan and use of TRIM – 65% of respondents indicated that they found the file plan structure relatively easy to understand and work with. This was supported by the fact that approximately a similar amount of respondents were confident in knowing where to file their records. It should be noted however that 31% still have difficulties regarding filing in TRIM.

The survey results show slightly more than 9% favour the search facility in TRIM as opposed to simply browsing for information. While a minority of respondents (18%) indicated that they were comfortable with both methods – searching and browsing. In response to the question – have you changed the way you search for items, the majority indicated that they had not done so. These results would seem to support the need for further staff training on searching.

Staff were asked to comment how user friendly TRIM is and the majority of frequent users on a daily or weekly basis (68%) found it relatively user friendly, whereas there was a mixed response from the low volume user (27%). 11 users found the TRIM search facility was satisfactory or better and 5 users stated it was poor. A small majority

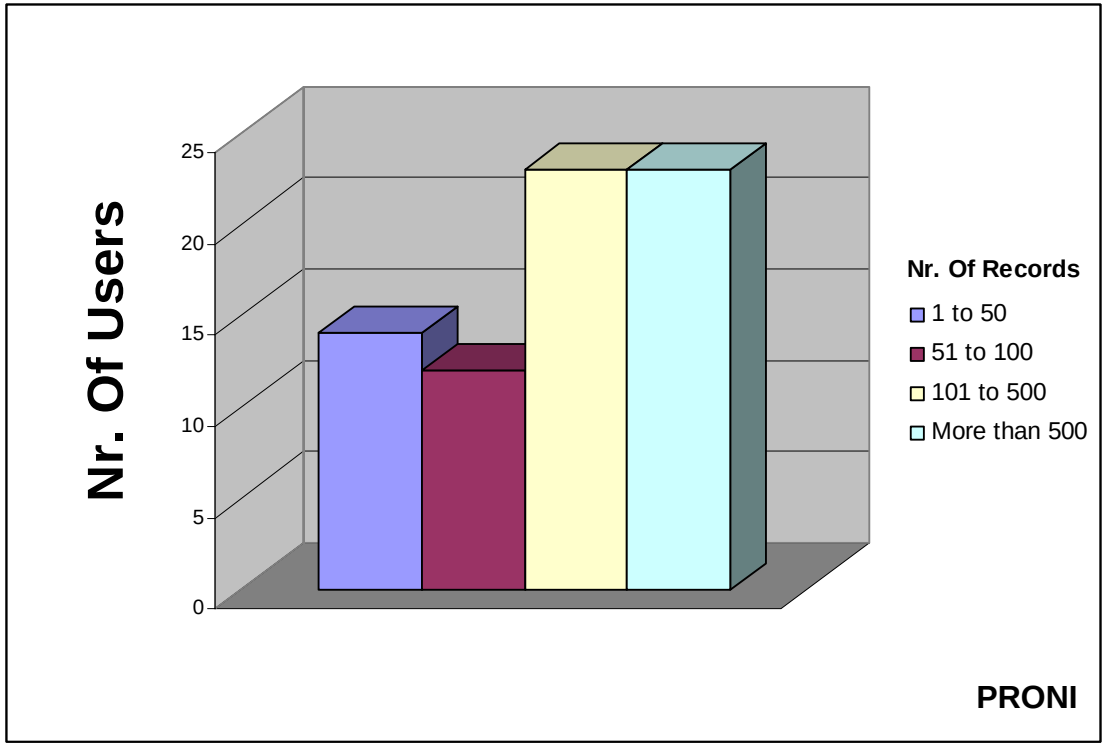
of 13% still do not undertake complex searches in TRIM – staff commented that they either were not aware of what complex searches where or how to undertake them and there was a lack of confidence in use of the system. Awareness of the PRONI Document Naming Conventions is still low at 59% with a similar amount commenting that they are not aware of agreed naming conventions in their business area.

As part of the survey we asked staff an open question – how could we improve the level of support regarding TRIM? A number of comments were received as a result on varying topics, such as, training, establishing a TRIM support group, re-visiting naming conventions, recent documents/favourites. In particular training and ongoing support are the central issues – suggestions from staff include, regular refresher courses, well informed Section Reps, promoting best practice, specific training on naming conventions, searching and other useful functionality.

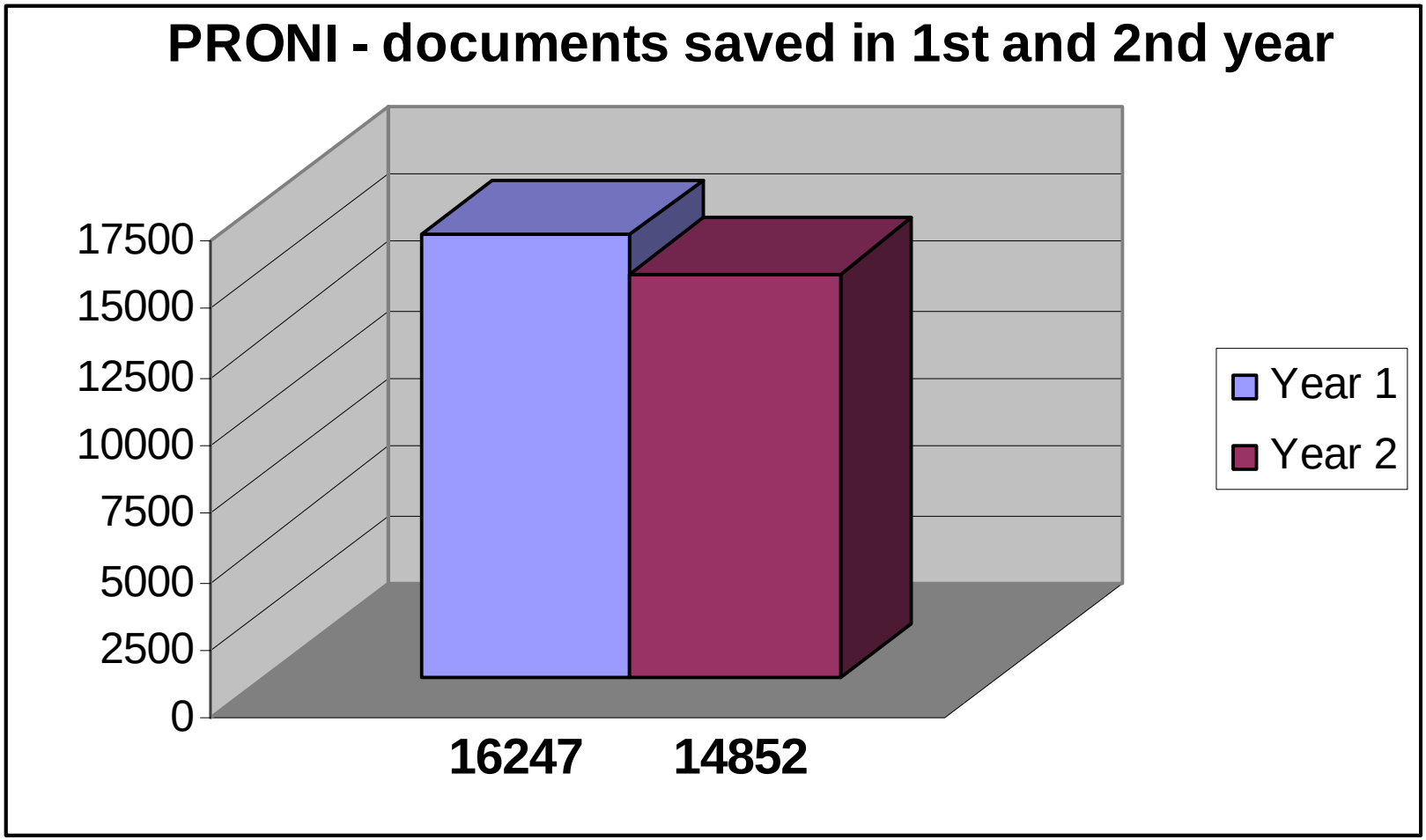
Annex 2 – PRONI TRIM Statistics

TRIM Usage

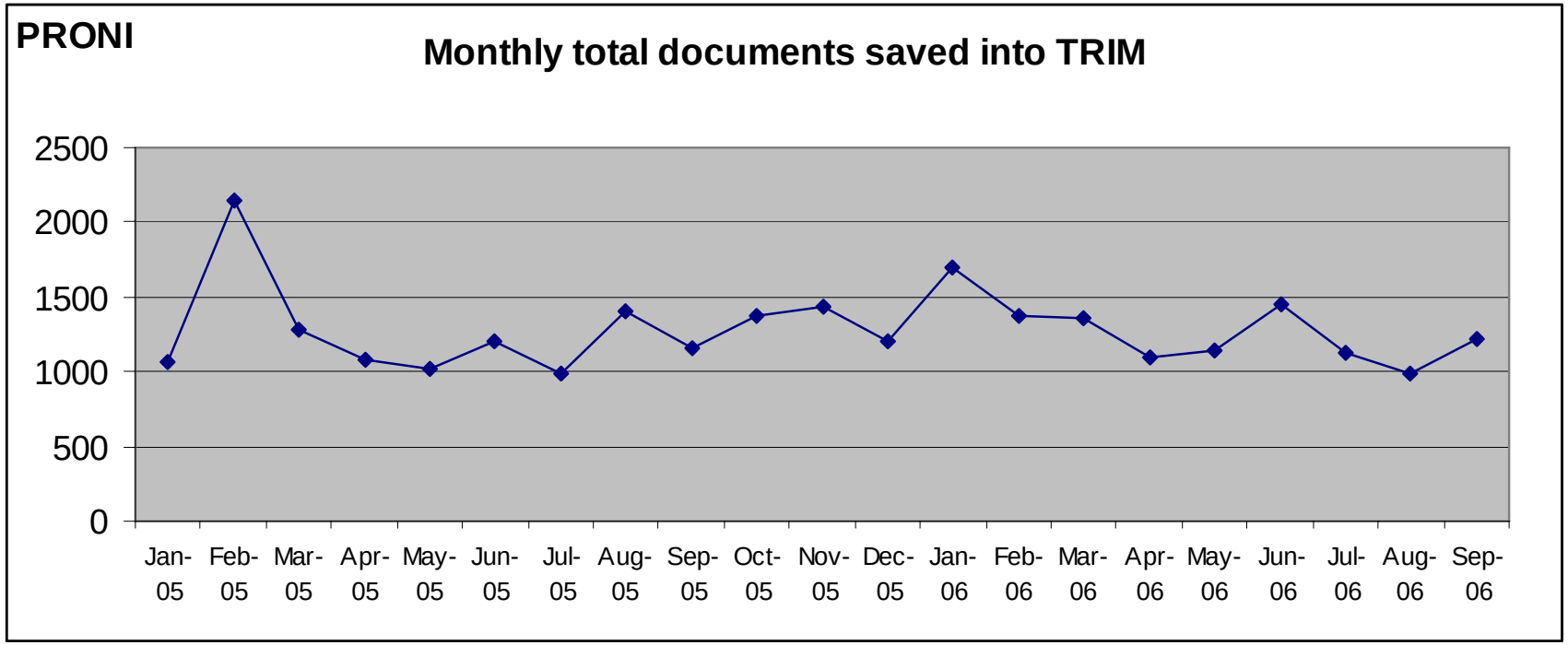
PRONI TRIM Usage Statistics	
Users with Records	72
Users with no Records	19
Total Users	91
% Users with/without Records	78/22
Total number of Records	26275
Max number of Records for single user	1161
Min number of Records for single user	1
Average Records per active user	365



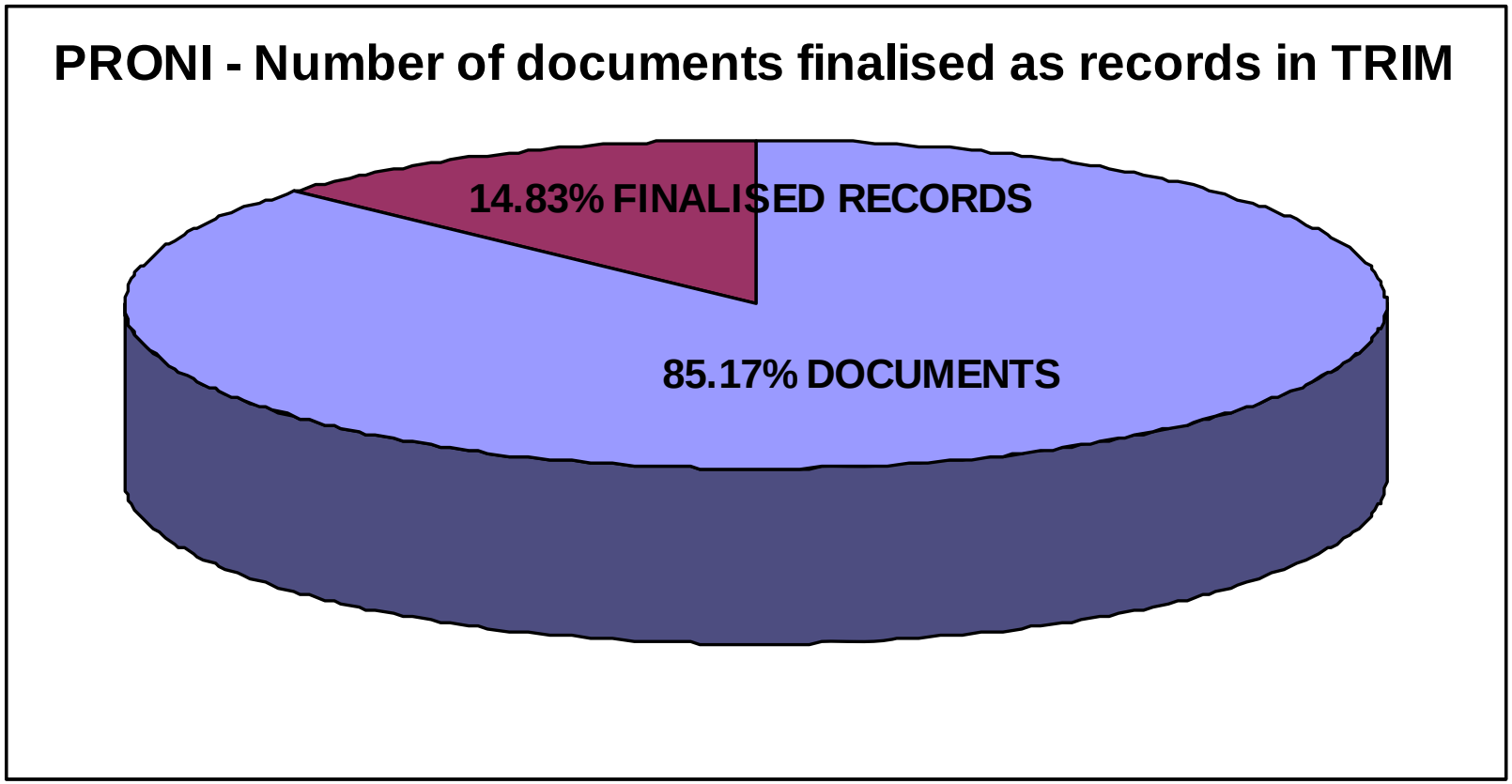
Comparison of user uptake of TRIM 1st year and projected use 2nd year



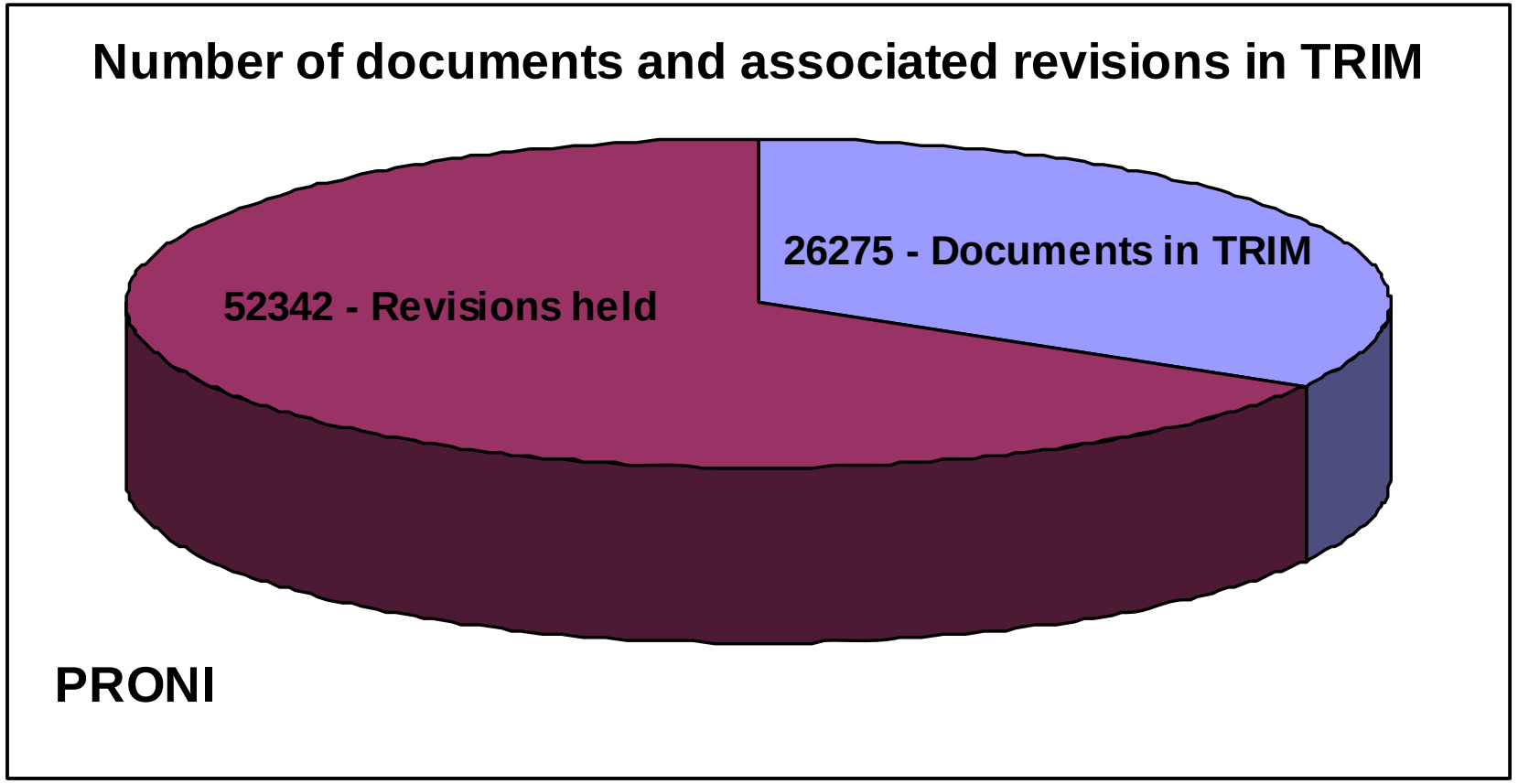
Documents saved into TRIM each month since going live



Number of finalised records in TRIM

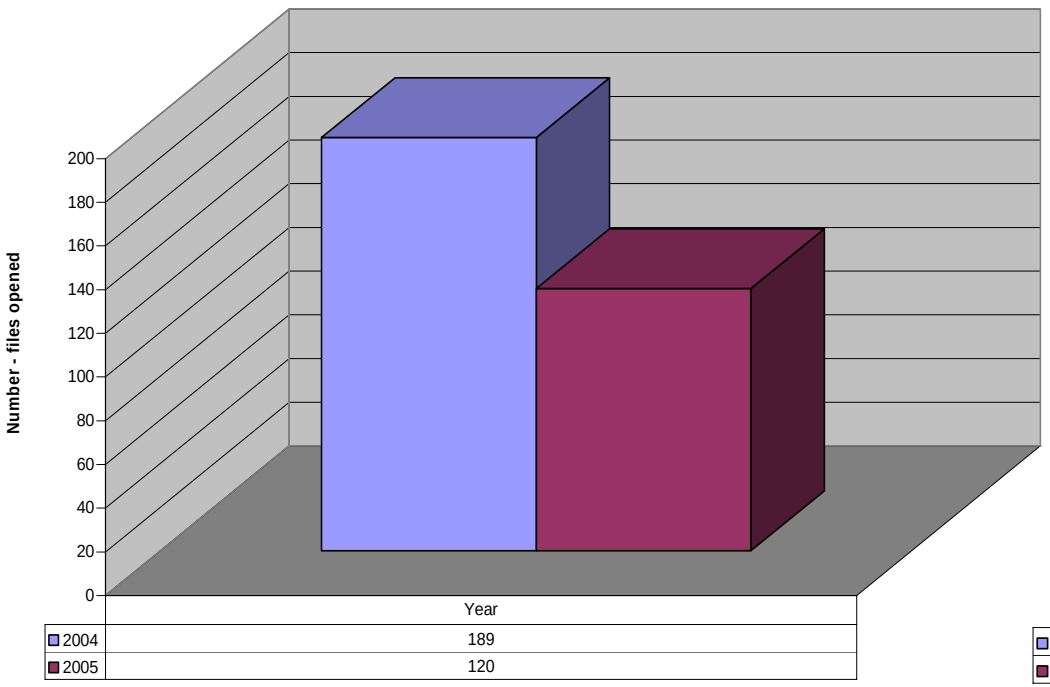


Number of revisions in relation to documents held in TRIM

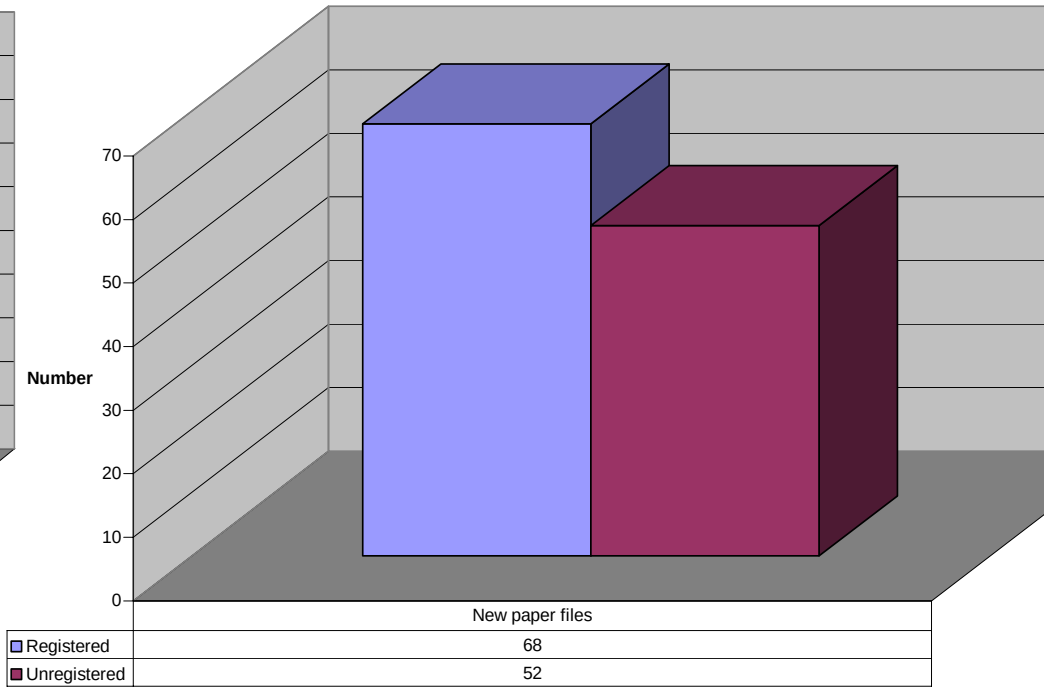


PRONI Hybrid Filing

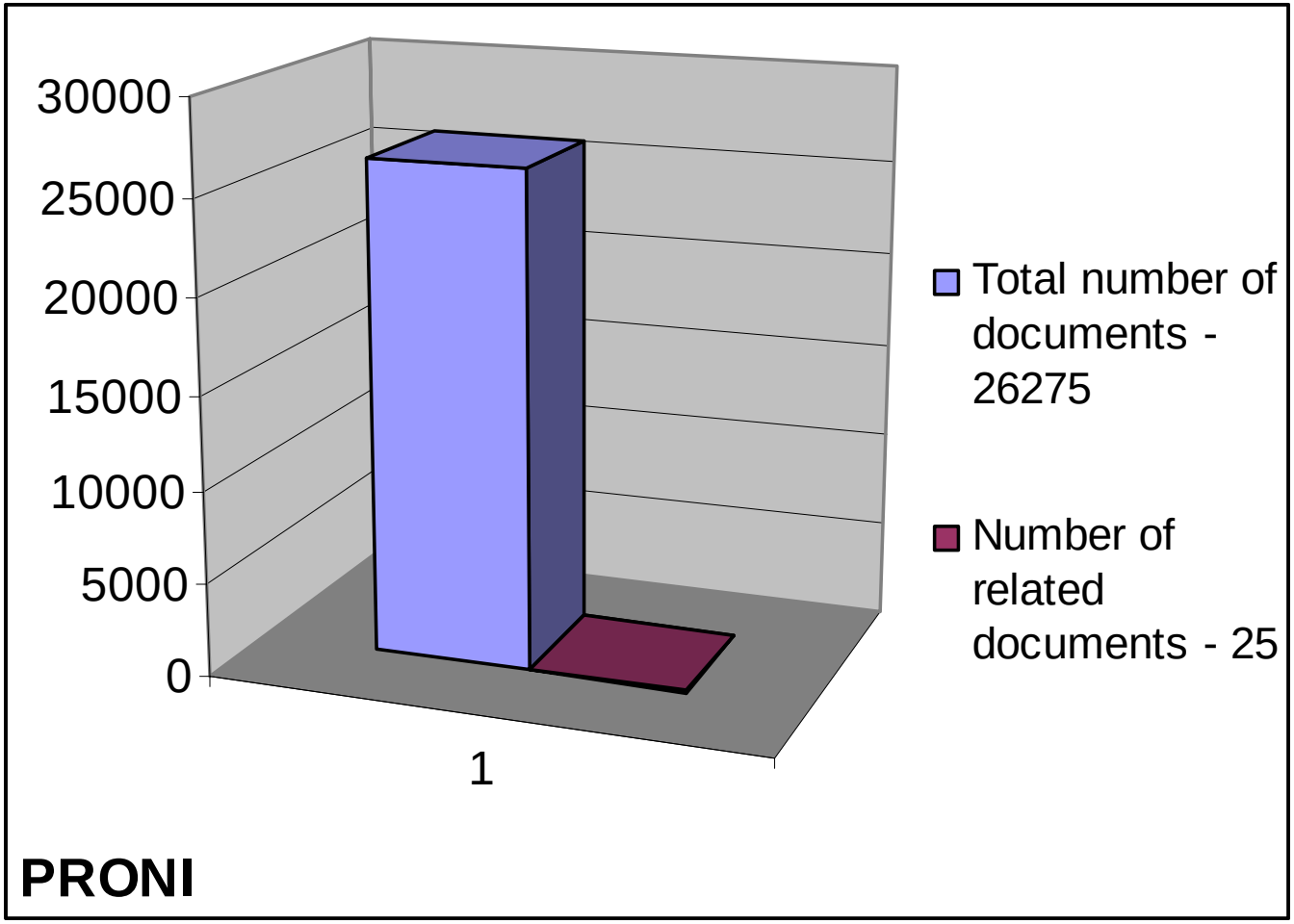
Comparison of number of new paper files opened before and after EDRM at PRONI



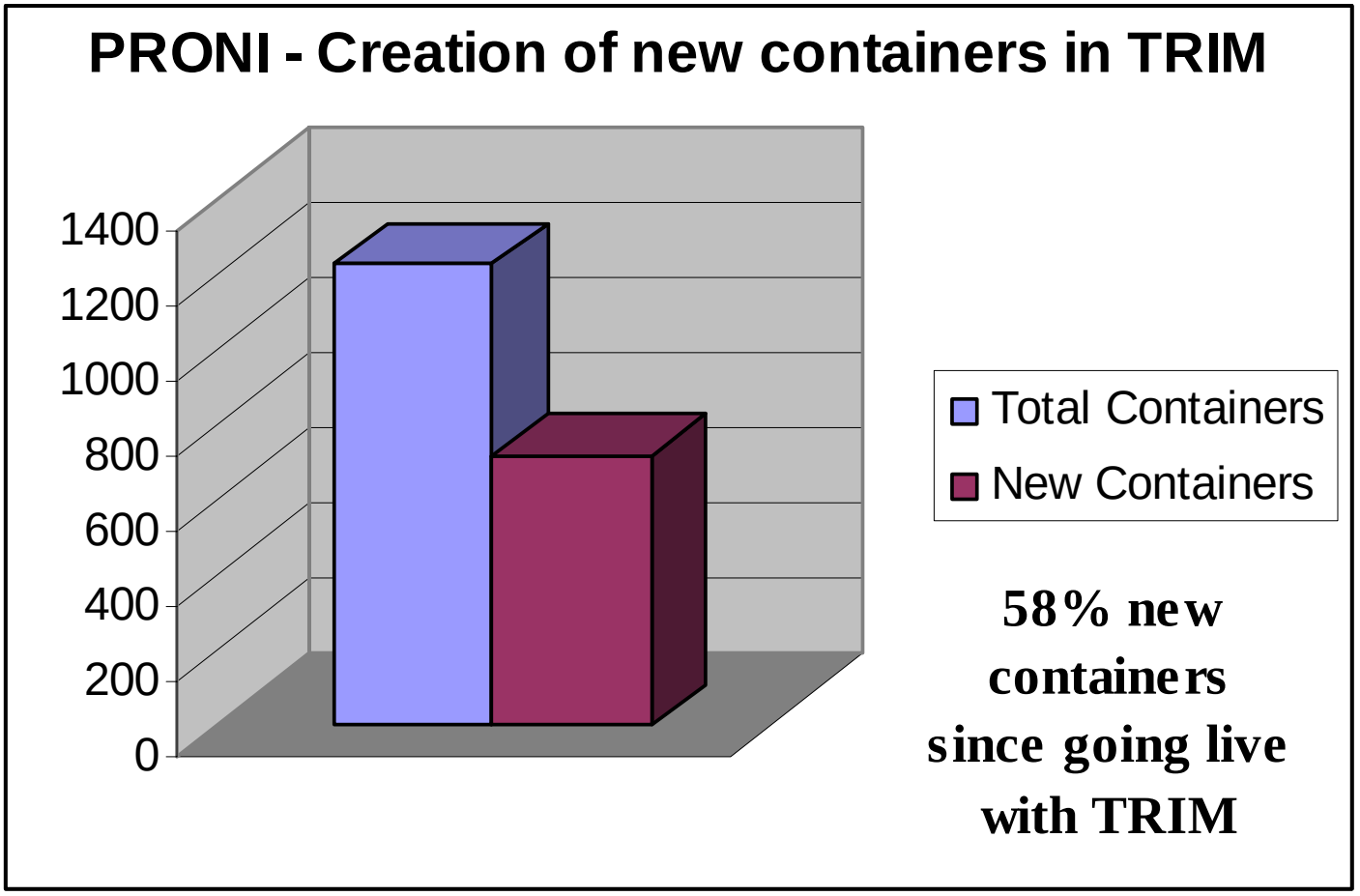
New paper files registered in EDRM at PRONI since going live



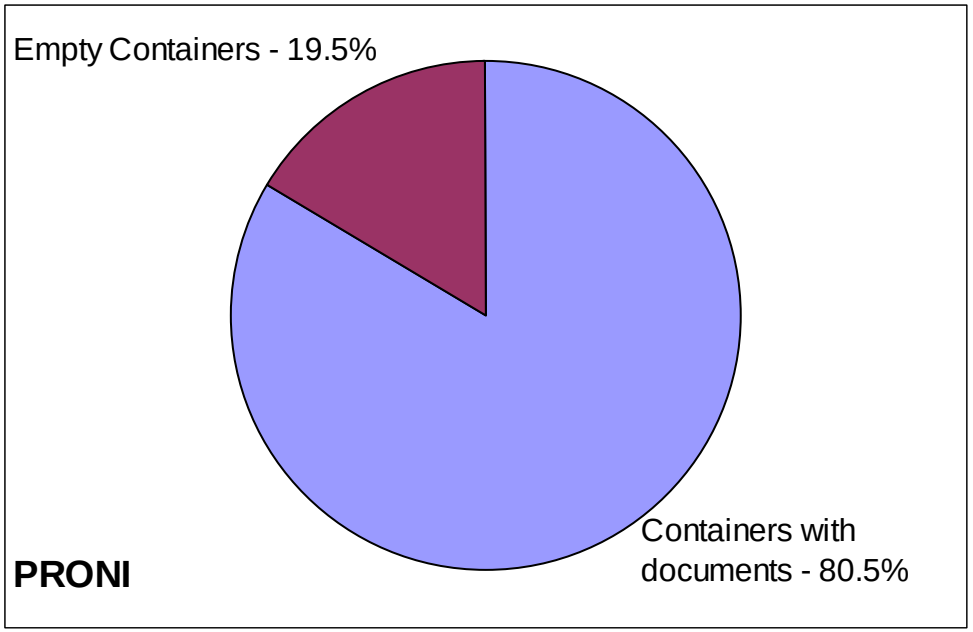
Total Number of Documents in TRIM and how many are Related Documents



Total number of containers created since going live with TRIM



Comparison of TRIM containers with documents stored or not used



Composite Recommendations of Permissions agreed between DETI and PRONI to re-align with NICS Policies – (relates to TRIM Context 5.2.x)

PERMISSIONS	NICS Default Administrator [to be determined]	Dept. Day to Day - TRIM Administrator	Dept. Information Manager – TRIM Administrator	* Dept. Technical Administrator	Power Users	End User	Enquiry User	
Record Update Permissions-								
Create Records								
Modify Records								
Delete Records								
Reverse Final Declaration								
Create new parts								
Modify Record Class								
Manage Requests								YES
Record Administration								
Record Administration (Restricted)								NO
Record Archivist								
Document Update								
Document Delete/Purge								
Append to Existing Notes								
Can Save Record Searches								
Add Records Relationships								
Remove Records Relationships								
Attach Contacts								
Remove Contacts								
Set Container								
Change Container								
Remove from Container								
Modify Record Security								
Set Record Archiving Dates								
Document Assembly Administration								

PERMISSIONS	NICS Default Administrator [to be determined]	Dept. Day to Day - TRIM Administrator	Dept. Information Manager – TRIM Administrator	* Dept. Technical Administrator	Power Users	End User	Enquiry User
Location Update Permissions							
Can Create Internal Locations							
Can Modify Internal Locations							
Can Delete Internal Locations							
Can Create External Locations					Perhaps eventually – but if they have this permission they need to know how to create and name locations properly		
Can Modify External Locations							
Can Delete External Locations							
View User Profile Details							
Modify Logins and User Profiles							
Control File Update Permissions							
Record Types							
Lookup Sets							
User Defined Fields							
Classifications							
Schedules							
Holds							
Spaces							

PERMISSIONS	NICS Default Administrator [to be determined]	Dept. Day to Day - TRIM Administrator	Dept. Information Manager – TRIM Administrator	* Dept. Technical Administrator	Power Users	End User	Enquiry User
Document Stores							
Indexed Words							
Postal Codes							
Thesaurus Terms							
Saved Searches							
Meetings							
Workflow/Action Tracking							
Workflow Administration							
Actions Administration							
Attach Actions or Activities							
Reassign Actions or Activities							
Reschedule Actions							
Complete Actions or Activities							
Create Workflow							
Create Workflow Without Using Template							
Modify Workflow							
Miscellaneous							
Reporter Administration							
Run Statistics							
Edit Business Calendar							
Change System Settings							
Use Caption Editor							
Security and Audit Administator							
Define Barcode Scanners							
Define Web Templates							
Bypass View Access Controls					Yes – needed to be able to set 'native		

PERMISSIONS	NICS Default Administrator [to be determined]	Dept. Day to Day - TRIM Administrator	Dept. Information Manager – TRIM Administrator	* Dept. Technical Administrator	Power Users	End User	Enquiry User
					application' instead of TRIM Viewer		
Bypass All Access Controls							
Import and Export							
Bypass Lockdown							
Location Usage Permissions							
Can be Record Home							
Can be Record Owner							
Can be Record Assignee							
Can be Record Contact							
Can be Record Requestor							
Can be Action/Activity Supervisor							
Can be Activity Supervisor							
Can be assigned to an Access Control							

** Technical administration takes on another TRIM Context permissions role as appropriate*

OFMDFM

Electronic Document & Record Management Pilot Project
Lessons Learned Report

Introduction

Purpose

This document has been produced to capture and record the lessons learned during the preparation, implementation and operation of an Electronic Document and Record Management System (EDRMS) in OFMDFM. The report is divided into three sections, the first two dealing primarily with the lessons learned during preparation and implementation, and the third focussing on the lessons learned during 18 months of operation. All sections contribute the NICS lessons learned reports along with reports from the Public Record Office of Northern Ireland (PRONI) and the Department of Enterprise, Trade and Investment (DETI).

Background

OFMDFM was one of three departments piloting an EDRMS solution as part of the NICS EDRM Systems Infrastructure (SI) project.

The primary objective of the OFMDFM project was to pilot an EDRM solution within selected areas of the Office of the First Minister and Deputy First Minister, for the purposes of:

- Informing the NICS EDRM SI project of lessons learned.
- Testing some of the components of the preferred NICS list of EDRM products and services.
- Providing a basis for the full implementation of an EDRM solution for OFMDFM.
- Obtaining efficiencies in document and record management through enhanced storage, retrieval and dissemination.

In addition the project had the following specific objectives:

- To establish a file plan (or file plans), and disposal schedule(s) for each of the pilot areas, addressing not only the existing paper records, but also to facilitate the structured storage of a large amount of electronic information.
- To develop EDRM policies, guidelines & procedures, to ensure the successful adoption of the electronic record;
- To train all staff in the pilot areas in the use of the EDRM solution, ICT skills (where necessary), and to promote good practice in records management.

- To integrate (electronic) document and record management in to the day-to-day working of staff.

OFMDFM initially implemented TRIM Context 5.2.2 in the IT Unit, Equality & Rights Division, Public Service Reform Unit (now part of Development and Innovation Division – DFP), Personnel and Knowledge Network. The Information Management Unit (IMU) was added to the pilot towards the end of the initial implementation.

During the past 18 months branch reorganisation plus staff turnover has resulted in the number of TRIM users rising from 77 to 92.

Implementation of the EDRMS in the remainder of the Department is still under consideration.

Lessons Learned - Preparation

Preparation

The pilot areas were chosen to have a mixture of large / small branches, branches with good/poor manual filing systems, and branches involved in the project management of the EDRM project.

- The most significant outcome in the choice of branches was that the branch with a good manual filing system was keen to develop a good file plan. The file plan may not have been exactly what was required but the branch in question did put a lot of time and effort into its development. The result being that they were the only pilot branch to have an agreed structure in use prior to going live. A certain amount of this success was down to the individuals involved and the continuity of staff.

The project manager for the pilot was based in the IT Unit as resources were not available from the Information Management Unit and also to assist with some of the initial stages of the project which were related to the technical specification of an EDRM product. Information Management Unit agreed to manage the project for full implementation in OFMDFM.

- For the early stages of the project the fact that the project manager was from the IT Unit was a bonus as the project got bogged down in the procurement of EDRM software. A negative outcome of this delay was that a gap was created where the Information Management Unit, who were key members of the project team, were not engaged in the project as much as they should have been. In addition, there was a change in personnel during this period and a change in priority for the Information Management Unit (IMU) whose main focus became FOI. As a result it was sometimes difficult to get the IMU to allocate the resource necessary for the EDRM project. Ideally the project manager should be from the Information Management Unit from the outset. Once the software was chosen the technical issues in moving forward with an EDRM implementation were secondary to the information management issues.

Awareness

Presentations were given to the Project Board, the Project Team and the pilot areas, outlining the reasons for EDRM, and what is involved in the project.

- Presentations were received well by all who attended them. The main comments from staff surrounded security (i.e. who has access to the documents) and how the software will look and feel for the end user. In other words most staff wanted to see the product before a product was chosen. Having a product to demonstrate is essential from early in the project. It gives everybody a chance to see how they will interact with the EDRMS. It will give the project manager a chance to dispel any fears about the technical skill level required to use the system. Once the product has been demonstrated the likelihood is that staff will be able to concentrate on the information

management issues (file plan, housekeeping etc.) that need to be overcome for a successful implementation.

- Awareness sessions were not attended by all staff. Some staff thought the project was only applicable to staff dealing with registered files, i.e. mostly general administrative staff. Management buy in is essential to understand that information management is everybody's concern.

- Although record management awareness was included in the awareness presentations there was no formal record management training. This type of training (as carried out in PRONI) would have been beneficial.

Staff were also informed about the project via a 'Change Matters' bulletin which was issued periodically within OFMDFM to cover EDRMS, e-HR, FOI, and Knowledge Network. The Departmental brief and the last two Departmental conferences were also used to inform staff about the project.

- As a result of the measures above there was a general awareness of EDRM in OFMDFM. The information supplied via the media above was generally high level and would need supplemented by presentations to individual branches when they start preparation for EDRMS.

Housekeeping

Information audits were carried out in each of the pilot areas.

- OFMDFM information audits were primarily concerned with paper registered files. Information was gathered on electronic documents although no recommendations were made. It is essential that the housekeeping of electronic information starts as soon as possible. Trying to adapt to using an ERDMS and weed out obsolete documents from existing document stores places an unnecessary added burden on staff during EDRM implementation. There is a need to promote good housekeeping as early as possible. This can be done as part of any Record Management training that is undertaken (see Awareness).

- Housekeeping and file plan development should be considered separately from EDRM implementation as good housekeeping is an essential part of good information management and not just an EDRM issue. Likewise the development of a file plan is not just a requirement of an EDRMS. An agreed file plan will be of benefit to information management whether an EDRMS is implemented or not.

Policies and Procedures

Joint policies and procedures were derived by the lead implementers.

- The policies and procedures were not issued in OFMDFM prior to implementation. This was partially because it was not known how the software would impact on the procedures. There was also a reluctance to issue guidance which might be subject to continual refinement over a short period of time as

more would become known about the EDRM product. Information Management Unit could not devote any time to this as the delay in procurement caused the pilot implementation to coincide with FOI Act coming into effect. Ideally policies and procedures need to be issued in advance of EDRM implementation.

File Plan

A corporate file plan for the NICS was developed by consultants and agreed prior to the lead Departments implementing their EDRMS.

An OFMDFM file plan for pilot areas was also developed by consultants.

- Although the file plan was agreed at a corporate level and OFMDFM engaged consultants to develop the file plan for their pilot areas the file plan was not developed with enough detail to implement.

- Additional work was required by each branch and not all branches actively pursued this. (See Preparation). There was also a change of Departmental Information Manager during this time which resulted in a break in continuity.

- Where a file plan was developed and implemented using existing technology (shared network drive) prior to EDRM implementation staff have found it much easier to move to an EDRMS.

- There is no wrong or right answer to the file plan; to be successful the file plan has to be useable. The most successful file plan in OFMDFM is not entirely functional but it is something that the staff who use it can relate to. In this way the hurdles of having an agreed structure and sharing information have been overcome. It should be noted that following the restructuring of Anti Discrimination Division staff who moved to a new division wanted to implement the file plan in their new division.

Lessons Learned - Implementation

Configuration

Tower Software ran a configuration workshop for key staff involved in the project. The purpose of the workshop was to make decisions about how TRIM should be configured to meet existing information management policies.

- Not all staff were aware of the decisions that were being made

- Without knowing the product it was difficult to understand the impact the decisions being made would have on how the product functions.

- Prior to configuration a great deal of thought must be given to how the product should function. It needs to be clear in advance of the configuration workshop what ‘rules’ should be implemented within the EDRMS to support Information Management policy.

- The Information Management policy (if one exists) is unlikely to contain the amount of detail that would be required for a configuration workshop. As the use of an EDRMS opens up a lot opportunities to manage information in a different way than can be done with existing technology or a paper system, the policy may not have considered some of the options being offered during a configuration workshop.

- Initially OFMDFM chose a red icon to represent a document or record. This was later changed to a light blue icon as red was perceived by users as an error, or an indication of something malfunctioning on the system.

OFMDFM staff still have access to their shared drives to store documents.

- This coupled with the lack of a complete file plan resulted in an inconsistent uptake of TRIM. Consideration is being given to locking down shared drives and placing limits on mailbox size to ‘encourage’ staff to use TRIM.

- There still remains the need for a ‘local’ option to enable saving documents in different formats. For example, to save a Word document as text or as a web page. Another example would be staff who need to save Word templates, or documents in earlier versions of Microsoft Office.

Training (including floor walking)

OFMDFM conducted basic ICT skills training prior to EDRM training.

- This was successful and had a reasonable uptake by OFMDFM staff. Determining the level of training was difficult and the course was based on a cut down version of ECDL with additional specific document & email skills relevant to OFMDFM.

- Staff self nominated via responses to a questionnaire. This was not ideal but there didn't seem to be an alternative apart from making the training mandatory.

- Not all staff who were supposed to attend attended. There is a need for greater buy in from all staff including management to ensure development opportunities are not missed.

- All EDRMS & Basic Skills training should be recorded on Personal Development Plans.

- Documentation issued at the Sureskills courses was standard TRIM documentation. OFMDFM would have benefited from documentation specific to their needs.

EDRM training was carried out by Sureskills at their Belfast offices. OFMDFM opted for 1 day Power User training and 6 x ½ days End User training.

- The combination of training was good. Most staff only needed a half day end user training. Personal Secretaries and Local Information Managers attended the 1 day Power User course. Most staff found this fine although some personal secretaries found the afternoon a bit difficult. The afternoon deals with the power user aspect of the training, whereas the morning is the end user aspect of the course.

- Training was excellent. Sureskills were able to use the basic OFMDFM file plan. Having a file plan for use on the training course is essential.

- There were over 70 training places made available at Sureskills yet only just under 60 were used. This left 15 more staff to be trained. This equates to 2 additional ½ day training courses. One course had to be rearranged due to anticipated strike action. As mentioned earlier there is a need for greater buy in from staff and management to ensure development opportunities are not missed.

Floor walking.

- Some floor walking in OFMDFM took place straight after training. This was less successful than floor walking that occurred a few days after training. The few days gave staff the chance to try things out and build up a few questions for the floorwalker. Other staff were unable to make use of the floorwalker (or TRIM) as their file plan was not developed or implemented in TRIM.

Support

Tower Support.

- Tower's response for technical problems tends to lack urgency. If the solution can be provided by a Tower support representative over the phone then there was no problem, if however, the problem cannot be resolved immediately Tower seem unable to provide an adequate response.

Local support via IT Unit.

- Local support from the IT Unit was generally well received. Most queries were procedural of the type ‘How do I ….’, ‘Can TRIM do ….’ etc. which can be solved by staff who have attended the Power User, Admin. or Technical Admin. courses.

IT Issues (e.g. Windows XP and Office 2003 etc.)

OFMDFM upgraded all pilot users to Office 2003 and Notes 6.5.1 prior to EDRMS implementation.

- This worked well as all staff were guaranteed to be on the same version of the software which provided consistency. The operating system didn’t seem as much of an issue as the application software which integrates with TRIM. By upgrading to Office 2003 OFMDFM avoided some technical issues encountered by the other lead implementers.

Notes integration

- Approx. 20% of initial installations experienced a fault causing TRIM to crash when sending an email. An upgrade to Windows XP SP2 solved this problem on some machines and created a new problem on others. The re-installation of Lotus Notes appeared to solve this problem.

- This issue was logged with Tower Software who were able to provide assistance in terms possible causes, but there was no solution available as the way in which Notes email integration has been configured in OFMDFM is unsupported by Tower Software.

Systems Management

- Good knowledge of SQL server is required to deal with SQL issues as an when they arise.

- Regular maintenance of ‘locations’ is required to remove ‘ghost’ locations.

Lessons Learned - Operation

File Plan

The OFMDFM file plan continues to be amended within TRIM for the business areas involved in the EDRMS pilot. The file plan is also still being developed for business areas not involved in the pilot but for implementation at a later date.

- Where the file plan is being used staff have found it reasonable easy to use. The main problem in OFMDFM is that the file plan (especially the corporate areas of the file plan) has been developed over time and is not yet complete. A complete file plan (whether fully functional or not) needs to be in place prior to EDRMS implementation.

- Staff not using TRIM state that the lack of a file plan is the main reason why they have not used the system.

- Initially staff who had been using a file plan prior to using TRIM had found the file plan easier to use. Over time most staff now using TRIM have found the file plan has become easier to use and understand. The main reason for this is that staff tend to concentrate on specific areas of the file plan that relate to their particular job function.

- Staff still experiencing problems with the file plan tend to be those that browse and therefore have to manually scroll though all areas and levels of the file plan including the containers and documents before they find the documents they are looking for. Making use of searching, favourites and recent documents greatly reduces the amount of manual searching and therefore makes the file plan easier to use.

- File plan redevelopment to align it with the current Departmental development methodology is a contentious issue. Staff who put a lot of time and effort into the development and use of the original file plan are uncomfortable with the idea that it may change to be in line with the remainder of the Department. This supports the recommendation made earlier that “A complete file plan (whether fully functional or not) needs to be in place prior to EDRMS implementation.”

Housekeeping

- OFMDFM remains unconvinced about the capping of mail boxes or the automatic deletion of ‘unfiled’ email after 3 months. Whereas there are plans to review documents in TRIM prior to disposal the proposed option to automatically delete email from mail boxes after 3 months could lead to the destruction of documents which may form part of an official record.

Benefits

- The main functions being used in the EDRMS are saving MS Office documents, saving emails and sending mail from the EDRMS. Essentially this equates to the same functions available in the Department prior to EDRMS. Although all the documents (MS Office & email) may reside in one repository the EDRMS is offering little advantage over existing technology. Unless full functionality is being used is difficult to see how perceived benefits will be realised.

- In order to ensure that full and proper use is made of the EDRMS there needs to be an ongoing programme of training and awareness. The awareness will need to focus on the policies and procedures surrounding information management and how the EDRMS can help implement these.

Support

- Most support or help is sought in relation to how to perform tasks and functions within TRIM and with information management issues such as naming conventions and the file plan. Few queries relate to technical issues. This supports the view that the implementation of an EDRMS is more about the culture change, the training and the awareness than the underlying technology.

- The need for local experts or Power Users is essential as most staff prefer to ask a colleague for assistance rather than the Helpdesk, Information Management Unit or the IT Unit. In addition the use of training manuals and on line help is limited.

- On-line help is rarely used as a means of support. The fact that many members of staff were unaware of the existence of on-line help endorses the need for basic ICT skills training as on-line help is a standard feature on all Windows applications and has been for many years. Making best use of such a facility via a help index, keywords or searching is something that can assist all users and can be applied to all Windows applications.

Training

- The majority of staff think that some form of refresher training is necessary once the EDRMS has been in use for a period of time. It was only after having used the EDRMs for a period of time that staff became comfortable with the basic functions of TRIM and began enquiring about additional functionality. This included applying security to documents, relating or linking documents and advanced or complex searching. The majority of the topics staff enquired about were part of the original end user training course, but were not a priority in getting to know and use a new system. It is only after staff become comfortable with the basic functions that they consider making better use of the system.

- Most people do not use the training manual provided during their training course. Initial comments about the training manual used during the implementation were mixed and a manual tailored to the specific needs of the

Department was recommended as a way to boost the effectiveness of the training material. Comments from staff suggest that they either prefer to be shown how to do something or to ask colleagues for assistance when the need arises.

Information Management

- No information management training was provided in OFMDFM during implementation. How information is managed within the EDRM continues to be an issue. Few documents are declared as official records by using the option to make them final. Differences of opinion exist about whether those documents made final should retain previous revisions or not. This may be due to an understanding or lack of understanding of audit trails and legal admissibility of documents and records.

- No agreed naming conventions exist and any uniformity in naming conventions appears to break down over time. This is most apparent where dates are used and where spaces, slashes or hyphens are used to distinguish between subjects.

- Assistance with records management issues such as naming conventions or the file plan is the second most common support issue in OFMDFM.

TRIM Usage

- The majority of staff in OFMDFM involved in the lead implementation now use TRIM on a daily basis. This is encouraging even though OFMDFM has never placed any restriction on the storage of electronic information in other applications.

Appendix A: Implementation Survey (Questionnaire Results)

Survey Summary For: EDRM Survey
Response Count: 38 out of 46 (83% response rate)
Summary Created On: 28/09/2006
Survey Expires: 01/12/2006

Question 1

Prior to TRIM EDRMS training and installation all staff were offered a TRIM awareness briefing. Did you find the briefing informative? (Please add comments as necessary)

Possible Replies:	**Score**	**% of Total**
Very informative	11	28.95%
Informative	13	34.21%
Satisfactory	6	15.79%
Not informative	0	0%
Did not attend	8	21.05%

Comments:

Answer Chosen	DID NOT ATTEND	Perhaps I was on holiday but I've never heard of this.
Answer Chosen	DID NOT ATTEND	Started OFMDFM 21 March received training 24 March 2005

Question 2

Please indicate the type of training you attended at Sureskills.

Possible Replies:	**Score**	**% of Total**
End User (1/2 day)	29	76.32%
Power User (1 day)	9	23.68%

Question 3

How would you rate the training provided by Sureskills? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Excellent	7	18.42%
Very Good	14	36.84%
Good	16	42.11%
Fair	1	2.63%
Poor	0	0%
No Opinion	0	0%

Comments:

Answer Chosen	VERY GOOD	Perhaps slightly too long a gap between training and start of usage, but I appreciate this was not the intention.
Answer Chosen	GOOD	Good as far as it went, but half day not enough to take in and practice basics of system. Hand-out booklet not referred to during training, which might have helped in using booklet. Booklet not easy to use.
Answer Chosen	VERY GOOD	There was a bit too much to take in on the day. Found the one-on-one help afterwards more useful.
Answer Chosen	GOOD	Some aspects appeared disorganised and we did not have authorisation to carry out some of the tasks.
Answer Chosen	VERY GOOD	Training was very good, however would have preferred initial briefing/demo prior to training - Given that I was new to OFMDFM I didn't fully understand the file plan set up - unlikely that this would effect others in the same way.
Answer Chosen	VERY GOOD	Trainer moved a bit too fast for some of the group.

Question 4

Are there any aspects of TRIM you feel should have been covered in greater detail? (If YES please specify)

Possible Replies:	**Score**	**% of Total**
Yes	8	21.05%
No	30	78.95%

Comments:

Answer Chosen	YES	Editing documents.
Answer Chosen	YES	Really, all of it, as even very basic things were difficult to come back to the office and do.
Answer Chosen	YES	Saving files, pdfs etc. Would be helpful if manual also covered more end-user info
Answer Chosen	YES	The Manual is not well written and is very hard to follow. More time could have been spent on certain tasks - emailing more than one document, explanations on 'Top Drawer', deleting documents.
Answer Chosen	YES	Some time spent on the common problems & resolutions around using TRIM as an EDRMS.
Answer Chosen	NO	May be too soon to say - would appreciate being asked the question in say another 3 months.
Answer Chosen	YES	Emailing attachments from TRIM - i.e. Lotus Notes and TRIM connectivity.
Answer Chosen	NO	The training was received before using Trim, so for me it couldn't contain too much information, it provided the right level.
Answer Chosen	NO	Would welcome a short session after having had time to make use of TRIM, to either discuss difficulties or find out if there are tools that I am not using which would be beneficial.
Answer Chosen	YES	Top Drawer. There seems to be a problem with this aspect of TRIM. Staff are exiting a document and when others try to open it, it states that the document is checked out to the previous person who had it open. You need to exit TRIM altogether and go back in as the refresh button F5 does not work. Maybe this is just a fault with the package we currently have but think it needs looked at.
Answer Chosen	YES	Half day was too short to take all in, more practise needed.

Question 5

Would you be interested in further training in the form of Q&A or 'How to' style workshops? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Yes	26	68.42%
No	12	31.58%

Comments:

Answer Chosen	YES	It is only after working in the programme that you have enough knowledge/experience to benefit from a session like this.
Answer Chosen	YES	On a general level (full OFMDFM rollout) these need to be provided at the office level and in real time. Any delay will frustrate users.
Answer Chosen	YES	Particularly as we are now using TRIM.
Answer Chosen	YES	I would like this at a later stage once I have been using the system for a bit.
Answer Chosen	NO	I think the individual training has covered most of my needs as most of my queries have been very specific; I would like a Q and A style sheet on common problems for end-users.
Answer Chosen	YES	We need some direction as to who should file/catalogue what, the procedures to follow when sending emails to users not using TRIM etc.
Answer Chosen	YES	Might be too soon to say. I can't help feeling that I'm only using a limited aspect of the tool, but so far so good!
Answer Chosen	YES	See question 4.
Answer Chosen	YES	See my last answer.
Answer Chosen	YES	I feel that the floor walking should have started a week or two after having trim installed as this is when many of the problems and questions arose and at this point the floor walkers were no were to be seen.
Answer Chosen	NO	Clearer handouts would be helpful, too much technical guff and too little "how to" info.

Question 6

How do you rate the TRIM User Manual provided on the training course? (Please comment as necessary)

Possible Replies:	Score	% of Total
Excellent	1	2.63%
Very Good	10	26.32%
Good	11	28.95%
Fair	7	18.42%
Poor	5	13.16%
No Opinion	4	10.53%

Question 7

Do you think there is a need for a 'handy hints' guide? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Yes	35	92.11%
No	3	7.89%

Comments:

Answer Chosen	YES	The pop-up hints facility is good.
Answer Chosen	YES	Might be helpful for common questions.
Answer Chosen	NO	With further workshops to clarify how to undertake specific issues no need for handy hints guide.
Answer Chosen	YES	Yes, this would be very helpful.
Answer Chosen	YES	Clear instructions on individual tasks would be helpful.
Answer Chosen	YES	This would be very helpful for quick queries etc.
Answer Chosen	YES	Very much so. As I said at earlier question we need some direction as to who should file/catalogue what, the procedures to follow when sending emails to users not using TRIM etc. I thought PRONI should be able to advise us as to how they have overcome some of the issues that have arisen. Can we not get a copy of their hints and tips and the lessons learned - without this people will switch off (if not already).
Answer Chosen	YES	Yes this would be useful but would need to be tailored for our users.
Answer Chosen	YES	As a lazy user this would be great - having searched the Guide for instructions the next time around all I need is a few high level prompts not a re-read of the manual - this would be useful for aspects of the tool that you not use every day.
Answer Chosen	YES	Could be useful.
Answer Chosen	YES	The manual isn't easy to navigate and there are quite a few terms that seem unfamiliar to me.
Answer Chosen	YES	It wouldn't do any harm for a 'handy hints' guide as it would save time going through the manual.

Question 8

Did you make use of the floorwalking support provided by Sureskills? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Yes	15	39.47%
No	23	60.53%

Comments:

Answer Chosen	YES	To remind me of how to do something.
Answer Chosen	NO	not available at the time.
Answer Chosen	NO	Their time might have been better spent with refresher seminars where users could discuss experiences.
Answer Chosen	YES	Too short. Not enough time.
Answer Chosen	YES	Yes, this was very useful to resolve some problems on the spot, and to be shown things over again.
Answer Chosen	NO	Floor Walker was in day after training but at that stage I hadn't had time to really familiarise myself with the system. Then training for some of our staff was cancelled and floorwalkers were not in building. I found they tended not to be here when problems arose.

Answer Chosen	YES	Although very helpful unfortunately I had very little time on the day the Sureskills floorwalker visited my office.
Answer Chosen	NO	Seems I was away from office.
Answer Chosen	NO	Didn't know that this was on offer!
Answer Chosen	NO	Didn't see any floorwalkers, nor knew how to contact any.
Answer Chosen	NO	When the floorwalkers were here I wasn't using TRIM yet.
Answer Chosen	NO	The TRIM was put onto my system just after training and I was still experimenting with it myself but at no time did I see floorwalkers from Sureskills.
Answer Chosen	NO	Did not have Trim installed at time of floorwalking.
Answer Chosen	NO	No, didn't need it then.

Question 9

Where you satisfied with the support provided by the floorwalker? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Yes	14	93.33%
No	1	6.67%

Comments:

Answer Chosen	YES	Generally satisfied apart from one issue (editing documents).
Answer Chosen	YES	See answer to Q8.
Answer Chosen	YES	Very helpful.
Answer Chosen	YES	Main issue is timing.
Answer Chosen	YES	Sadly would have been more helpful at a later date once we had an opportunity to really use the system and discover some of the issues it created.
Answer Chosen	YES	She was more helpful than the trainer on the half day course.

Question 10

Would you like to see further floor walking support provided? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Yes	25	65.79%
No	13	34.21%

Comments:

Answer Chosen	NO	We have been well served by the ISU and floorwalkers.
Answer Chosen	NO	The floorwalker would need to be about when a particular problem arose- otherwise there would be little benefit.
Answer Chosen	YES	Would lessen tendency to avoid problems by not using Trim.
Answer Chosen	YES	Follow up needed as issues surface.
Answer Chosen	YES	This would be helpful as there are times when we need a quick answer to issues. An OFMDFM floor walker may be the answer to this...
Answer Chosen	YES	Don't know - I'm not sure how useful it was as I have not experienced it.
Answer Chosen	NO	Not personally but as new users are brought on we may need this service again.
Answer Chosen	NO	Not to sound arrogant but at the minute I'm fine - in the early days of going live I leaned on internal support staff who were very responsive and helpful.
Answer Chosen	NO	Some sort of usergroup facility supported by a floorwalker may be useful.
Answer Chosen	NO	Not currently - still using the basic functions at this stage.
Answer Chosen	YES	It wouldn't do any harm to see further floor walking but I think it would be particularly useful if everyone knew when they were coming rather than them just turning up.
Answer Chosen	YES	Although am lucky enough to work near EDRM team.
Answer Chosen	YES	I currently torture Paul Naylor for help, and he is very generous with his time.

Question 11

What is your preference for floor walking support? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
External (Sureskills)	7	18.42%
Internal (IT Unit)	14	36.84%
Internal (Information Management Unit)	2	5.26%
Internal (Local to your branch)	15	39.47%

Comments:

Answer Chosen	INTERNAL (IT UNIT)	Local staff have knowledge of how our system operates not just TRIM software.
Answer Chosen	EXTERNAL (SURESKILLS)	I would have opted for no preference, but this option not available. I am happy to take help from any and every source, and have no opinion about where it should come from.
Answer Chosen	INTERNAL (IT UNIT)	I don't mind whether internal or external; I've found both very helpful. Presumably internal would be better as we'd have more access to them
Answer Chosen	EXTERNAL (SURESKILLS)	External Sureskills needs to be supported by Internal (It Unit)
Answer Chosen	INTERNAL (IT UNIT)	As it is more immediately available
Answer Chosen	INTERNAL (INFORMATION MANAGEMENT UNIT)	I would suggest that IMU should work together with the local branch LIM to look at the issues being raised with a view to providing some direction. IT Unit can provide input from a technical perspective but it would be better if the floor walking was not done by techies.
Answer Chosen	INTERNAL (IT UNIT)	From experience they know the tool inside out and have the benefit of knowing the business and internal operations
Answer Chosen	INTERNAL (LOCAL TO YOUR BRANCH)	Depending on the problem, one, all, or some of the above may be required.
Answer Chosen	INTERNAL (LOCAL TO YOUR BRANCH)	I had to select one of the above but I don't care who provides it as long as they can answer my questions
Answer Chosen	EXTERNAL (SURESKILLS)	Have checked 'external' but happy with any.
Answer Chosen	INTERNAL (LOCAL TO YOUR BRANCH)	I am not bother who provides it
Answer Chosen	INTERNAL (IT UNIT)	I believe there are attributes in using all 4
Answer Chosen	INTERNAL (LOCAL TO YOUR BRANCH)	I don't have a preference really.
Answer Chosen	INTERNAL (LOCAL TO YOUR BRANCH)	No preference, but better if it's someone local who is easily accessible, and that it's "just in time". I doubt having someone from Sureskills is a good use of resources as they would need to be on hand all the time!

Question 12

How helpful do you feel the Project Manager was during the preparation for EDRM? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Very helpful	25	65.79%
Helpful	9	23.68%
Not helpful	1	2.63%
No opinion	3	7.89%

Comments:

Answer Chosen	VERY HELPFUL	In areas he was responsible for, e.g. IT and project management issues.
Answer Chosen	NO OPINION	There was some good work on the file plan - however we require some direction in terms of policies, procedures, hints and tips. Have we not looked at the lessons learned by PRONI? My suggestion is to start making use of the work they must already have completed.
Answer Chosen	VERY HELPFUL	Knows the product well, very approachable and sensitive to needs/problems - responsive and solution proof.
Answer Chosen	NOT HELPFUL	I don't know who the Project Manager was.
Answer Chosen	NO OPINION	Who is the Project Manager? If it's Harry, then yes he was very helpful and had to deal with some awfully silly questions. If it's someone else, then I'm not sure who they are.

Question 13

How helpful do you feel your Project Team Member / Local Information Manager was during the preparation for EDRM? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Very helpful	15	39.47%
Helpful	14	36.84%
Not helpful	2	5.26%
No opinion	7	18.42%

Comments:

Answer Chosen	NO OPINION	Not sure what their role was in relation to staff, Thought their responsibility was more to ISU and CMU.
Answer Chosen	VERY HELPFUL	But I'm biased!!
Answer Chosen	NO OPINION	Not sure if the LIM was fully aware of role/responsibility.
Answer Chosen	NO OPINION	Perhaps I was on leave.
Answer Chosen	NOT HELPFUL	They didn't promote/use Trim so the ethos wasn't passed on.

Question 14

Overall how user friendly to you find TRIM? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Excellent	3	7.89%
Very Good	8	21.05%
Good	16	42.11%
Fair	9	23.68%
Poor	2	5.26%
No Opinion	0	0%

Comments:

Answer Chosen	GOOD	Windows based and logical sequence with facility to access most recent accessed documents and containers without trawling whole file plan.
Answer Chosen	FAIR	Initially when learning it, not very user friendly - ask me again next year. Some things annoying - not being able to re-name documents I have created, the email attachment limitations.
Answer Chosen	VERY GOOD	On the whole, TRIM is good, but there are a few features that could be added that would improve it greatly; for example, being able to sort files in chronological order would make a huge difference.
Answer Chosen	GOOD	This should improve the more I use the system.
Answer Chosen	GOOD	Only because I am not using it as frequently as I should -still using local as a crutch until second server is up & running.
Answer Chosen	GOOD	This rating will probably improve over time, as experience grows, and system improvements are completed.
Answer Chosen	FAIR	The difficulties arise when sending documents to users outside of the system - the format of the emails and file titles etc. leave a lot to be desired.
Answer Chosen	EXCELLENT	As first it looked daunting - as in very different - but I'm a convert - it is easy to use and the excellent support provided by the internal IT support and power users gives you added confidence.
Answer Chosen	EXCELLENT	Some frustrations getting used to it but once I get the hang of it, I think it will be great.
Answer Chosen	GOOD	I feel TRIM is still in the "teething" process but when all the problems have been ironed out I think it will be very user friendly.
Answer Chosen	GOOD	Limited user so hard to say.
Answer Chosen	POOR	what was wrong with the system we had before, with shared drives on the network? Is this system better than before? I have seen no evidence of it. We can't open sub-folders without having to go to someone and organise it, and then wait for them to do so. Its time consuming and no better, and in many cases worse, than before.

Question 15

How often do you use TRIM? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Daily	21	55.26%
A few times a week	8	21.05%
Occasionally	9	23.68%
Never	0	0%

Comments:

Answer Chosen	A FEW TIMES A WEEK	At present some of my work has not got a place to save it to on TRIM so I use the local button.
Answer Chosen	A FEW TIMES A WEEK	I will be using it daily from now on.
Answer Chosen	DAILY	Trying to use it for every new document now.
Answer Chosen	A FEW TIMES A WEEK	Generally daily, but at moment few times a week.
Answer Chosen	OCCASIONALLY	Would use it more if the file plan was in place and relevant.
Answer Chosen	DAILY	As appropriate.
Answer Chosen	DAILY	More for viewing than inputting data.
Answer Chosen	DAILY	I do not use it when interacting with people outside OFMDFM pilot areas as it is likely to cause them problems.
Answer Chosen	DAILY	The first thing I open in the morning along with Lotus Notes. All word and relevant e-mail is stored on TRIM daily.

Question 16

What do you like about TRIM?

Possible Replies:	**Score**	**% of Total**
Comment Only	38	100%

Comments:

- The whole concept of logical storage of documents in an electronic format rather than paper based filing and hopefully easy retrieval.
- Relatively straight forward - the real test will come when the system is all we have.
- It seems a fairly user friendly package which anyone comfortable with windows based packages should find little difficulty with.
- In time, will provide one source for salient documents.
- It is a single source for all information. I have nothing filed anywhere else since the live date. Documents are easy to find and I like the fact e-mails and their attachments can be kept together.
- More complete record and information is easier to retrieve.
- Easy and quick search facility.
- Revisions facility very useful. Notes field good. Easy to privatise documents.
- It's useful to be able to track different revisions and to connect documents to each other. Also useful that files can be kept confidential.
- Favourites facility and emailing single documents.
- Very suitable product to support EDRM, but not a solution in itself.
- The search facility has a very broad scope which is good.
- The fact that all docs will be able to be stored & viewed on the one storage system it will life a lot easy once it beds down.
- I like the "Corporate" storage concept of EDRMS but I can't honestly say that I like TRIM - it is too early and until the policies and procedures are sorted I will have serious reservations.
- Its usability - all information is stored in one place as opposed to searching by way of IT product as in Word etc - the benefits by way of search and find have yet to be tested as I have limited files saved as it so early in the project.
- A corporate approach to document filing is useful insofar as once you are familiar with it you can theoretically use it in any post.
- The fact that everything relating to an issue can be filed in the one place.
- Being able to file e-mails. Having one document with others able to access. Checking in and out.

- Being able to create final versions. Sending links to documents in e-mails.
- You can see previous drafts of your work.
- A bit confusing.
- The ease with which you can search for documents with different search criteria.
- Capacity to Share - Recent Documents - Structured file plan.
- I like TRIM for the fact that when someone is on leave and you are asked to do a research exercise you can access the File Plans centrally rather than going into someone else's computer which I don't think is appropriate.
- No paper filing involved, everyone has access.
- Search facilities.
- The accessibility of documents to all users.
- Nothing.

Question 17

What do you dislike about TRIM ?

Possible Replies:	**Score**	**% of Total**
Comment Only	38	100%

Comments:

- I personally haven't had a problem with it but would know that colleagues have had difficulty being able to edit documents saved in TRIM. This would make me wary of saving a document and not being able to edit it.
- I dislike the inability to distinguish between attached documents in Lotus Notes e-mails (only a TRIM code is provided rather that the name of the document).
- A fully developed file plan would help.
- There are a few things I still don't know where to file as they do not relate to my business areas - returns to the centre etc. Useful to see the full corporate file plan.
- Too early to say.
- Need more time to become confident in using it. Needs some practice.
- See answer to previous question. Big problem at the moment seems to be its slowness to refresh i.e. when someone closes a document and it still shows it being checked out. Don't really understand why some documents are being checked out to higher level.
- The fact that files cannot be sorted into chronological order once they've been filed; the fact that revisions cannot be given specific notes relating to a particular revision only; and the fact that you have to work through the entire file plan every time you save docs (I know there's a recent document function, but sometimes the doc you need isn't in there.
- Dislikes are possibly as much to do with the way the file plan has been implemented to date, but include: Long winded file titles The need to keep reopening the file plan Searching while comprehensive is not as user friendly as it could be There are too many options on file menus Although it has not been fully explored, the offline working facility appears cumbersome I would like to see document categorisation in place The idea of filing documents in different parts of the file plan is cumbersome. The software should make the connections Lack of drag and drop support between Notes and Trim Lack of Trim support for iNotes Can multiple links be sent via one mail message?
- Emailing multiple documents. Having to continually refresh and check documents in.
- EDRM is seen as an overhead and will be disliked, TRIM is the most visible part of this. TRIM will be OK when EDRM bedded in.
- The compatibility factor with Lotus is an irritant.
- The speed of refresh is currently very slow, and when a record is finalised, it is currently not printing the full document.
- See previous answer.

- Inability to change information on the List Pane particularly if you have made a mistake - perhaps this can be done by the power user but it's a nuisance that you can't have permission to do it yourself. Also the removal of specific revisions that may be redundant - by way of example an initial draft may need to be re-worked to remove information say because of FOI considerations as this draft is redundant and to be honest it would be preferable that it was removed as it is not required for business purposes and there are also risk management considerations as in what if the wrong file is copied off following an FOI request? I appreciate that the option to remove previous revisions has not been activated? Also, I have not managed to find out how I record the 'author' for an external author - the function may be there but I haven't found it - if not what does one do?
- The use of a different approach to the File Plans incorporated in TRIM takes a bit of getting used to.
- It's a bit cumbersome having to go through a lot of levels to find the right file. Presumably as I become more familiar with it this will be less of an issue.
- Bits of the fileplan are missing. Most of my filing is done under 'Information and Communication - Government Liaison' and it is missing. I would like it restored - urgently. I am having to use the local file plan which defeats the purpose really.
- When you are going through the file plan, the name of each container stays open and it makes the area that you are looking in very cluttered.
- TRIM options e.g. Check in, check out are confusing.
- Issues regarding items being checked out. issues with storing scanned documents problems with deleting documents.
- The refresh button does not work properly. "Top Drawer" which was explained earlier. General teething problems but you would expect that with a new software package.
- Meaningless file attachment names (although the full title of the document is copied to the title of the e-mail.
- It is not as quick and easy to use as saving docs to our shared drive.
- Not so much a dislike of TRIM as getting used to a new way / culture of working.
- I am not keen that you have to go through so many levels before you find your document.
- It does not save updated versions you have to close trim & open again.
- Nothing.
- Check in - Check Out.
- That non-essential documents need to be recorded when the local button goes.
- Everything! see earlier comments.

Question 18

What specific problems (if any) have you encountered with TRIM ?

Possible Replies:	**Score**	**% of Total**
Comment Only	38	100%

Comments:

- Personally none, my only experience is of colleagues having difficulty.
- Nothing significant.
- None
- Most have been easily sorted. However, it would be good to be able to attach a document from trim to a reply to e-mail.
- Editing documents.
- Not set up right at start. I could not identify problem.
- See previous answers.
- Trying to keep track of revisions and sorting docs in date order. Also saving pdfs (although I now know how to do that).
- Icons have disappeared when upgrading from one version of Notes to another. There may also be problems with the facility which updates the title in Notes with the prefix TRIM: - this also may fail when Notes is upgraded suggesting that the integration between the two products is not as good as it could be. Folders do not exist and access rights do not allow them to be created, leading to frustration.

- Not a problem specifically with Trim, but again to do with File Plan and how it is being implemented. Slow to connect over SRA Slow to throw up an error message when working off line to allow a local save Lack of ability to detach an email attachment after it has been filed in Trim.
- Mostly to do with system not refreshing quickly enough. Occasionally old version of a document has been emailed due to system not updating.
- These are being logged centrally by PSRU.
- All of these have been logged with the EDRMS project team.
- Removing /deleting files.
- See previous answers.
- Various SQL errors which are being looked at by the tower helpdesk.
- Initially not seeing the 'finalised' status but this has now been rectified. Also when copying a number of attachments from an e-mail you need to take a careful note of what each attachment is about because as TRIM calls each one up you can't 'see it' - on occasions, perhaps through an interruption, I can't remember where I am in the order and I have to try and start again. Response times are not great.
- Emailing attachments (I understand that multiple attachments are even more difficult). Also the fact that the File Plan in TRIM is not the full plan that the Division piloted for some months.
- Saving an excel file.
- Refreshing – remembering to do it.
- Documents being marked out when they are not, and not being able to edit a document.
- Deleting documents.
- Have encountered problems with regards to trim updating its documents especially when wishing to send documents in email.
- Top Drawer as already explained.
- Occasional freezes when sending e-mails but this has almost stopped happening now.
- I have saved docs in emails to trim and found they were “read” only.
- The only problem so far that I have encountered is that it would knock you out sometimes and you have to go back in again.
- Check in & Check out system.
- Configuration problem – not able to send e-mails, not everyone a TRIM recipient yet.
- Checking In and Out.
- None – only with the fact that not everyone uses it.

Question 19

Have you used the search facilities within TRIM ?

Possible Replies:	**Score**	**% of Total**
Yes	24	63.16%
No	14	36.84%

Comments:

Answer Chosen	NO	My area of saving work is very specific so finding what I need hasn’t been a problem, I haven’t needed to search for documents.
Answer Chosen	NO	Not yet- only been using a handful of containers to date.
Answer Chosen	YES	Very good.
Answer Chosen	YES	I think they are complicated and we will have difficulty teaching some users how to make the most of this facility.
Answer Chosen	NO	No need to as yet.
Answer Chosen	NO	Too soon – limited files in use at present.
Answer Chosen	NO	Not yet.
Answer Chosen	YES	Basic ones only.

Question 20

How do you find the search facilities within TRIM ? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Excellent	4	16.67%
Very Good	10	41.67%
Good	5	20.83%
Fair	4	16.67%
Poor	1	4.17%
No Opinion	0	0%

Comments:

Answer Chosen	GOOD	I need to become much more familiar with the File Plan it is a bit of a problem just now in knowing where to file docs.
Answer Chosen	FAIR	I think this is quite complicated. I think the search facility could be simplified.
Answer Chosen	FAIR	Again getting used to new way of working or retaining things - will take time.

Question 21

Have you ever tried a complex search, e.g. combining title word with author or date etc. ? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Yes	7	29.17%
No	17	70.83%

Question 22

Do you find the file plan structure easy to understand ? (Please comment as necessary)

Possible Replies:	**Score**	**% of Total**
Very easy	7	18.42%
Easy	17	44.74%
Satisfactory	12	31.58%
Difficult	1	2.63%
Very difficult	1	2.63%

Comments:

Answer Chosen	EASY	Hindsight is wonderful and some more mundane areas of work weren't considered when devising the file plan. On intro to NICS all these little areas of work would need to be considered.
Answer Chosen	VERY EASY	Structure easy - titles too long.
Answer Chosen	VERY EASY	Because already used to file plan structure.
Answer Chosen	VERY EASY	However, we need access to Information and Communication and Human Resources.
Answer Chosen	SATISFACTORY	Generally satisfactory but not complete. Sometimes difficult to decide where to file.
Answer Chosen	EASY	For the most commonly used 'folders' not a problem but for less used ones I have to go searching or ask for advice - there does not appear to be anything on Information & Communication/Government Liaison?
Answer Chosen	SATISFACTORY	Subject to earlier comment about the slightly amended File Plan used in TRIM to what the Division previously used.
Answer Chosen	SATISFACTORY	Newness to OFMDFM has made it difficult, plus I believe the Unit folders/containers need further development/sectioning.
Answer Chosen	EASY	I found it easy enough as I had been used with the File Plan layout before as Anti-Discrimination Division was one of the pilots for File Plan.

Question 23

How confident are you at knowing where to file something in TRIM?

Possible Replies:	**Score**	**% of Total**
Very confident	9	23.68%
Fairly confident - occasionally unsure	23	60.53%
Unsure	5	13.16%
Very unsure	1	2.63%

Comments:

Answer Chosen	FAIRLY CONFIDENT - OCCASIONALLY UNSURE	Usually can find a home for a document without looking too far.
Answer Chosen	FAIRLY CONFIDENT - OCCASIONALLY UNSURE	Not all of file plan migrated to Trim yet.
Answer Chosen	VERY CONFIDENT	This is probably due to the fact that we have operated a File plan structure for a year.
Answer Chosen	FAIRLY CONFIDENT - OCCASIONALLY UNSURE	As the file plan is made more environment friendly i.e. local issues need to be incorporated this will improve.
Answer Chosen	VERY CONFIDENT	I'm not convinced that it is practicable, reasonable or necessary for the lowest level of the file plan (i.e. branch tasks) to be controlled by IMU - I believe that Branch LIMs should be able to amend this level on instruction from Heads of Branch.
Answer Chosen	VERY CONFIDENT	See earlier comment re 'missing folder'.
Answer Chosen	VERY CONFIDENT	See earlier comment about file plan.

Question 24

Finally, if you have any further comments on the project to date or suggestions for the future please comment below.

Possible Replies:	**Score**	**% of Total**
Comment Only	38	100%

Comments:

- If it was possible to save documents into a trial file plan prior to going live with TRIM I think people would find it easier to make the transition. Using new software and adjusting thinking about filing categorisation together made the transition more difficult.
- Full implementation is going to be a very difficult task.
- It would be useful to have had some time to trial before going live.
- Don't have anything further to add.
- A lot more testing is required and processes put in place before roll out to the department.
- Without tackling the policies and procedures required ASAP disillusionment will lead to disuse. I hope that this is seen as constructive criticism.
- Could I suggest another survey say in October when we will all have had an opportunity to really test the product - it's early days yet and there could be problems/modifications to raise their heads.
- Please action urgently the file plan issue I raised.
- I know we have to expect teething problems at the start but I don’t remember these problems happening when the file plan was first piloted. I think the glitches within the system need to be looked at and resolved.
- Get it rolled out across OFMDFM ASAP!!!
- None.
- On going floor walking needed.

Appendix B: Use of TRIM EDRMS Survey (Questionnaire Results)

Survey Summary For: EDRM Survey - Use of TRIM

Response Count: 27 out of 42 (64% response rate)
Summary Created On: 29/09/2006
Survey Expires: 01/12/2006

Question 1

Statistics from the TRIM EDRM system show that you have registered less than 10 documents since the pilot began in March. To try and determine how best to encourage more use of TRIM can you please indicate your main reasons for not using TRIM.

Possible Replies:	Score	% of Total
Not sure how to use TRIM	1	3.7%
File Plan - Not Developed	20	74.07%
File Plan - Too Complex	1	3.7%
Training - Insufficient	0	0%
Training - Not Received	1	3.7%
Not part of the pilot	0	0%
Guidance - Lack of Policies & Procedures	1	3.7%
Alternative Storage Available (e.g. My documents - Inbox - Shared Drive)	6	22.22%
Don't create enough documents	2	7.41%
Work off-line	0	0%
Other - Please Specify	4	14.81%

Comments:

- I was ill and returned to work in May, but 2 of the main containers I use have not been transferred to trim - the human resource and finance - although we have now a make shift finance. I have also been on leave. There are no major reasons for not using trim. I have been using trim - to find documents that have already been created.
- I am not aware of files being created for Dorothy/our use.
- I have a paper based filing system which works well, and while I mean to get round to setting out the long list of files I need opened on the file plan, I don't have time. Also, I have heard that people find it very hard to relocate documents on the file plan, and I can't afford to take that chance.
- I tend to put only completed documents on TRIM (i.e. not drafts). I would have some concerns about confidentiality and would not put anything on I did not want others to read. Some documents do not seem to fit into the file plan.
- It was agreed that KN would not be part of the pilot initially (at the time of the early work of Samantha Lougheen), hence the KN team continued to use Teamroom extensively. Since recently joining the pilot there was no file plan plus TRIM software was only installed on my machine last week.
- The file has only recently been agreed and I am just beginning to use TRIM.
- One area of the file plan remains unclear - in relation to filing of branch weekly absence returns. We hope to have this sorted out soon.
- I try not to hoard paper - hence the Branches will register most of the documents. Heads of Division should register very few documents.

Question 2

Please describe any steps you think could be taken to encourage more use of TRIM.

Possible Replies:	Score	% of Total
Comment Only	27	100%

Comments:

- No comment.
- I think we need to remove access to the other areas for storing documents, shared drives etc. In other words force people to use TRIM. But only once a file-plan is agreed.
- Equality & HR Unit File plan is being developed to allow Trim to be more widely used by the branch.
- I would be happy to use TRIM if our files were set up.
- More options in the file plan. Retraining in document protection.

- The only reasonable way to ensure people use Trim is to remove the local button option as soon as possible. I have been waiting for the finance and personnel queries to be addressed; I believe they have now been added.
- More user-friendly file plan. The file plan seems to have been created without user input.
- Reduce alternative storage area options.
- Reduce alternative storage.
- Reduce alternative storage space.
- A good file plan is needed and some procedures drawn up indicating when TRIM should be used as opposed to using Corporate Services Document Library. The KN Technical staff are already adhering to BDS Procedures for storing all branch info on the BDS shared database.
- Don't know.
- If users only had the option to use TRIM and could not save to other drives.
- As I work for a Grade 5, I would like a direct link to my own folders/containers, so I don't have to worry about putting things in the wrong place! It would make me feel more comfortable/secure in using TRIM. There may be some way in which I can do this, but as I have no folders of my own or belonging to my Grade 5, I have not been using TRIM.
- I think it would be helpful have a one-to-one discussion with someone who is experienced at using TRIM.
- Remove the 'save local' option!

Appendix C: Operational Lessons Learned Survey (Questionnaire Results)

Survey Summary For: EDRMS Lessons Learned

Response Count:	58 out of 70 (83% response rate)
Summary Created On:	29/09/2006
Survey Expires:	08/10/2006

Question 1

How long have you been using TRIM?

Possible Replies:	**Score**	**% of Total**
Less than 6 months	13	22.41%
6 to 12 months	18	31.03%
More than 12 months	27	46.55%

Question 2

Have you received any training in TRIM?

Possible Replies:	**Score**	**% of Total**
Yes	55	94.83%
No	3	5.17%

Question 3

Please state type of training (Tick all that apply).

Possible Replies:	**Score**	**% of Total**
End User (1/2 day)	47	85.45%
Power User (1 days)	13	23.64%
Admin (2 days)	8	14.55%
Don't Know	1	1.82%

Question 4

Do you think that refresher training in TRIM would be useful?

Possible Replies:	**Score**	**% of Total**
Yes	36	65.45%
No	19	34.55%

Question 5

Which subject(s) would be of most benefit in refresher training (Tick all that apply)

Possible Replies:	**Score**	**% of Total**
Searching	23	62.16%
Version control	25	67.57%
Finalising Documents (making them permanent records)	29	78.38%
Security	22	59.46%
Relating documents (cross referencing)	28	75.68%
Naming conventions	19	51.35%
Information Management / Record Management (General)	17	45.95%
Policies & Procedures guidance	16	43.24%
Off line working	17	45.95%
Other (please specify)	4	10.81%

Comments:

- Changing the names of folders.
- I think refresher training on all aspects of TRIM would be useful but this is probably because I have not used it in 6 months. I personally think that more detailed training would be needed (more than a half day. Maybe the 2 day course would be ideal.
- General overview close to the time you are due to use the software.
- I seem to learn something new about TRIM everyday and what it can do and what it can't do - refresher training would be good but not a priority really - I know enough to enable me to do my everyday work and I just experiment with it myself to learn more.
- I do not feel really confident with any aspect of TRIM.
- It would be useful to have refresher training on any useful time saving functions associated with using TRIM.
- Refresher training might be helpful once we have our updated Personnel file plan in place.

Question 6

Do you ever refer to your TRIM User manual? (if no please explain why)

Possible Replies:	**Score**	**% of Total**
Yes	26	47.27%
No	29	52.73%

Comments:

Answer Chosen	NO	I prefer asking colleagues for help.
Answer Chosen	NO	I haven't got one! TRIM training was given by NIO.
Answer Chosen	YES	But its rubbish! It never tells me what I want to know in a succinct fashion, it is not user friendly. Too jargonistic. what we need is an "idiots guide" not a techie manual.
Answer Chosen	NO	Bit technical.
Answer Chosen	NO	The Manual is not user friendly, very complicated and it is difficult to even find the correct section to deal with the problem.
Answer Chosen	NO	Forgot that I had one. Should use it - instead, if I can't do something I tend not to bother rather than using the manual to learn. Will hunt it out.
Answer Chosen	YES	As well as consulting the manual, discussion with other staff has been vital to the learning process.
Answer Chosen	NO	I don't find the manual provided particularly user friendly or helpful.
Answer Chosen	NO	I prefer to be shown things!
Answer Chosen	NO	I would ask other people first instead of referring to the user manual as I find it easier.
Answer Chosen	NO	When I was using TRIM I usually asked one of the power users or figured it out myself.
Answer Chosen	NO	I probably was able to work out what I wanted to do without referring to manual.
Answer Chosen	NO	I do not find it user friendly at all.
Answer Chosen	NO	I don't find the manual particularly user friendly.
Answer Chosen	NO	To be honest, my use of TRIM is very limited - I haven't moved pas the basics yet!
Answer Chosen	NO	As I do not use TRIM yet I have never had occasion to refer to the manual.
Answer Chosen	NO	I have not put anything into trim so I have had no need to use it.
Answer Chosen	NO	I can't find it.

Question 7

Do you feel that Information Management / Record Management training would be useful? (please comment on your answer)

Possible Replies:	**Score**	**% of Total**
Yes	33	56.9%
No	25	43.1%

Comments:

Answer Chosen	YES	Since I don't know what it is, yeah?
Answer Chosen	YES	See question 5. Especially the need for certain protocols such as, for instance, who is responsible for saving an email in a chain of emails.
Answer Chosen	YES	Training to deal with making documents final, when and how the system will store these and highlight the need to review documents. Also a uniformed departmental approach to the titling of documents would be invaluable.
Answer Chosen	NO	Not sure what this covers so hence difficult to comment other than I am aware of what records I need to keep , Why I need to keep them and of the various classifications.

Answer Chosen	NO	Not sure that I know what this is. Saying no because I think I understand what needs to be done. Doing it is the problem.
Answer Chosen	YES	Provision of training is very important.
Answer Chosen	YES	I completed a one day course after my training. I found this very useful. Many current employees don't know anything about the legal requirement or need to retain records in certain methods/forms.
Answer Chosen	YES	I had been involved in planning file plan for EDRMS and found it useful background to using TRIM so I think it would be useful for all users.
Answer Chosen	NO	I am aware of the requirements of information management.
Answer Chosen	YES	It depends how much relevance it has on EDRMS.
Answer Chosen	YES	While I have significant experience in this field I would be interested to hear what instruction is being offered to others. There needs to be a more discipline and standard approach to information management practices.
Answer Chosen	NO	The length of time I am using TRIM I now know how to operate the file plans and where correspondence should be located so no I would not find this useful.
Answer Chosen	YES	I think there is a need for everyone to be saving docs etc in the same way.
Answer Chosen	NO	Not required.
Answer Chosen	YES	Not sure of the OFMDFM information Management/ records Management strategy.
Answer Chosen	YES	With the prevalent use of e-mail to conduct day to day business, I suspect that the audit trail iro policy development and decision making will have large gaps! It would be helpful to have some guidance about cataloging e-mails, particularly those e-mails which result in several exchanges between the different parties.
Answer Chosen	YES	To embed the principles of good record keeping.
Answer Chosen	YES	Knowing which e-mails to save etc, and Departmental policy on this would be useful.
Answer Chosen	YES	Refresher course would be beneficial.
Answer Chosen	NO	I received some records management training in 2004.
Answer Chosen	YES	I have been through this training a few years' ago so refresher training would be useful.

Question 8

How often do you use TRIM? (if never please explain your reasons)

Possible Replies:	**Score**	**% of Total**
Daily	33	56.9%
A few times a week	9	15.52%
Occasionally (a few times a month)	4	6.9%
Rarely (less often)	6	10.34%
Never	6	10.34%

Comments:

Answer Chosen	NEVER	I’ve moved to a Division who are not piloting the software. I used it everyday when I was using it in my previous branch.
Answer Chosen	NEVER	We have not been set up to use it yet.
Answer Chosen	NEVER	It always takes a back seat in terms of priority.
Answer Chosen	NEVER	We had not agreed our file plan and once we had we kept meaning to go live but never got around to doing so. We have now learned that we no longer are taking part in this project.

Question 9

How often do you require help/support with TRIM?

Possible Replies:	**Score**	**% of Total**
Daily	0	0%
A few times a week	1	1.72%
Occasionally (a few times a month)	23	39.66%
Rarely (less often)	27	46.55%
Never	7	12.07%

Question 10

What type of help/support do you require (Tick all that apply)?

Possible Replies:	Score	% of Total
Technical (as a result of error messages etc.)	16	31.37%
Use of TRIM ('How to' type queries)	27	52.94%
Information / Records Management (naming conventions - file plan etc)	20	39.22%
Other (please specify)	3	5.88%

Comments:

- Administration type help from Tower.
- This clarifies for me about the previous question to do with Info/Records Mgt. The Help/support that I need relates to the 'How to' but more so to the structure of the file plan. We spent a significant amount of time contributing to the development of the file plan as part of the pilot. It seems that it has changed considerably since then and there appears to be a lot of uncertainty about its current structure. We have a lot of 'Temporary' folders for example and things like ministerial submissions which previously were filed under 'Government Liaison' and therefore in one place, are now filed all over the file plan. I also have no feel for the direction that the file plan is going and as Head of Branch I am particularly concerned about the amount of 'filing' work stacking up because of decisions which have yet to be taken on the structure of the file plan. I fully support the use of TRIM and have a responsibility in Equality, Rights and Social Need Division to encourage proper use around the Division. I am having however significant difficulty persuading colleagues of its value when so many things remain undecided.
- At first there wasn't always a container for some of my areas of work such as training records and health and safety and as new areas of work emerged to decide where best to put work or make new container.
- I would normally ask the power user in the Branch for help it wouldn't always be necessarily through the IT people.
- Adding folders.
- Most queries come from not being au fait with some of the basic functions of TRIM.

Question 11

Who do you contact for help/support? (Tick all that apply)

Possible Replies:	Score	% of Total
Colleague	42	82.35%
Local Information Manager (local expert)	11	21.57%
IT Unit	18	35.29%
Information Management Unit	7	13.73%
Helpdesk (26888)	1	1.96%

Comments:

- Other lead implementers.
- Harry McCabe - Mr TRIM.
- I Feel that Agent McCabe provides a positive force and deals with the situations that arise very well indeed, sometimes these can be frustrating but Harry has an ease of pace that has allowed me to catch up on My own personal TRIM Grey holes , by watching and seeing how certain tasks ought to be preformed.

Question 12

Do you ever use on-line help? (if not please explain why)

Possible Replies:	Score	% of Total
Yes	14	24.14%
No	44	75.86%

Comments:

Answer Chosen	YES	Does not seem very comprehensive. Not necessarily easy to find the info you want.
Answer Chosen	NO	Was unaware there was on-line help available
Answer Chosen	NO	Was not aware of it.
Answer Chosen	NO	Didn't know there was one!
Answer Chosen	NO	Don't know how to access on-line help.

Answer Chosen	NO	Didn't think about it or know it was available.
Answer Chosen	NO	Not familiar with it.
Answer Chosen	NO	Have never needed it, my queries have been sorted out through work colleagues.
Answer Chosen	NO	There's on-line help!?
Answer Chosen	NO	As there is other expertise within the branch I prefer to call on that.
Answer Chosen	NO	I can never follow on line help.
Answer Chosen	NO	Some issues aren't covered or covered sufficiently and I prefer interaction with a colleague in order to get a fuller explanation. Will try to use it more often.
Answer Chosen	NO	I didn't realise on-line help existed.
Answer Chosen	NO	Always get sorted out with colleague or limb.
Answer Chosen	NO	Issue of time - generally quicker to contact an expert.
Answer Chosen	NO	No real need for it.
Answer Chosen	NO	Low overall usage of TRIM - no need for on-line help at the moment.
Answer Chosen	NO	Didn't know it existed and don't know how to access it.
Answer Chosen	NO	Not really thought about it.
Answer Chosen	NO	Colleagues assist.
Answer Chosen	NO	Haven't needed to.
Answer Chosen	YES	But sometimes easier to ask someone.
Answer Chosen	NO	No need to yet.
Answer Chosen	NO	I tend to use booklet from training course.
Answer Chosen	NO	Not familiar with this process.
Answer Chosen	NO	I am a sinner - I do not use the system.
Answer Chosen	NO	Don't use TRIM at all no need for help.

Question 13

Do you think an OFMDFM TRIM user group would be useful?

Possible Replies:	**Score**	**% of Total**
Yes	33	56.9%
No	25	43.1%

Comments:

Answer Chosen	NO	Sorry, don't have time for that.
Answer Chosen	YES	Very.
Answer Chosen	YES	Good to share experience, good and bad.
Answer Chosen	YES	Flag up common problems.
Answer Chosen	YES	It might be worth trying for a short period at least.
Answer Chosen	NO	Not Departmental group, but possibly Divisional one would be useful.
Answer Chosen	YES	Could prove a very useful forum for sharing experiences, highlighting issues and, most importantly, for promoting a consistent approach to the management of electronic information.
Answer Chosen	NO	I'm not sure a use group would be helpful for the type of TRIM queries which may arise; they will generally need fairly immediate resolution. A FAQ section somewhere might be more helpful.
Answer Chosen	YES	As my branch is now part of a new division and are in DFP, a DFP user group would be useful.

Question 14

Would you be prepared to be a member of an OFMDFM TRIM User Group?

Possible Replies:	**Score**	**% of Total**
Yes	15	45.45%
No	18	54.55%

Question 15

Over time have you found the file plan has become easier to use? (please comment)

Possible Replies:	**Score**	**% of Total**
Yes	39	67.24%
No	19	32.76%

Comments:

Answer Chosen	YES	Only really use to sections of it though.
Answer Chosen	YES	Tend to use a limited subset.
Answer Chosen	YES	I only really use one section of the file plan and find it straight forward to use.
Answer Chosen	YES	It's easier to use, but it still doesn't always make sense to me.
Answer Chosen	NO	It is not always easily apparent where a document may be filed because of the structure of the File Plan - e.g. financial documents can be in a variety of locations.
Answer Chosen	YES	Overall I do find it easier to.
Answer Chosen	NO	We began using TRIM before the corporate part of the file plan was finalised. Several areas have been removed to be redeveloped and no proper plan was put into place to assist us while this work was being done. We were left with documents that we could not file because the appropriate area was not available e.g. financial management, information management. The remodelling of these areas took a long time to complete and, despite feeding through to IMU suggestions as to folders which were required, when the areas were put back into the file plan, our suggestions had not been taken on board. This has resulted in a lack of confidence in the system and a number of staff are now reluctant to use TRIM because there are occasions when they don't know where to file documents.
Answer Chosen	YES	we have refined it to better meet our needs.
Answer Chosen	NO	As I stated before, we put a lot of effort into the development of the file plan since Anti-Discrimination (as it was then) was part of the pilot. It has changed dramatically and in my view is less clear now than before. Certainly there seems to be little by way of an implementation plan to guide us. We need clear direction and guidance quickly on this.
Answer Chosen	NO	Given that we are DFP we don't use any other areas of the FP.
Answer Chosen	YES	Once you get used to Trim it is fine, but sometimes if there is to much in the folders it can become quite hard to find things.
Answer Chosen	NO	Too many levels to drill down within the file plan before you find the documents.
Answer Chosen	NO	Don't have a file plan.
Answer Chosen	NO	I haven't experienced any significant changes.
Answer Chosen	YES	Before TRIM was introduced we were working to a File Plan anyway which I found an awful lot easier and I also find when working to a file plan the work is more organised and easier to locate.
Answer Chosen	YES	It becomes much more intuitive over time but with extended use it does also require regular amendments to ensure that the information can be filed effectively and not just placed "somewhere to get rid of it". This will be of vital importance when it comes to reviewing and disposing of information at a future date.
Answer Chosen	NO	Unaware of any file plan for KN.
Answer Chosen	NO	Unaware of any file plan for our team.
Answer Chosen	NO	Unaware of a file plan.
Answer Chosen	YES	I don't have problems using and accessing the file plan. However, I am not confident about using some of the common function components of TRIM.
Answer Chosen	YES	Using system more does help.
Answer Chosen	YES	Greater familiarity with the file plan through use means that finding the correct location for documents is easier.
Answer Chosen	NO	Have not had any occasion to use it yet.
Answer Chosen	YES	Using the file plan more frequently has helped considerably in becoming more proficient.
Answer Chosen	NO	It might well have done if I been able to commit time to it.
Answer Chosen	NO	The format of TRIM I feel is just not user friendly.

Question 16

Please indicate all of the TRIM functions you use or have used? (please comment on your choices)

Possible Replies:	Score	% of Total
Saving MS Office documents (Word / Excel / PowerPoint)	51	87.93%
Saving e-mail	46	79.31%
Sending e-mail from TRIM	44	75.86%
Finalising documents (i.e. making them a permanent record)	25	43.1%
Security / Access Control	12	20.69%
TRIM references (mail links)	28	48.28%
Relating records	9	15.52%
Version control	5	8.62%
Purging revisions	5	8.62%
Promoting revisions	3	5.17%
Reports	3	5.17%
Saved searches	8	13.79%
Action tracking	3	5.17%
Other (please specify)	1	1.72%

Comments:

- Relating records can be very challenging.
- Detailed guidance on some of the areas listed would be extremely helpful and would encourage staff to use these facilities.
- I have never used TRIM.

Question 17

Please indicate all the methods of finding documents that you use or have used?

Possible Replies:	Score	% of Total
Recent records	48	82.76%
Favourite records	25	43.1%
Browsing the file plan	44	75.86%
Simple search (i.e. one search criteria)	43	74.14%
Complex search (i.e. multiple search criteria using ‘and / or’)	13	22.41%
Other (please specify)	3	5.17%

Comments:

- Trim references are used to save the results of a search.
- Usually search by record number, title word, date created or creator.
- Don't use any, would not know how to.
- I would always use the file plan.
- I would only use "search" for information that is outside my "business area File Plan" (providing the File Plan is effective!)
- Accessing docs by the using link attached to e-mail.

Question 18

Over time have you changed the way you find documents within TRIM? (e.g. browse rather than search or vice-versa, favourites or recent documents) (please comment on the change)

Possible Replies:	Score	% of Total
Yes	18	31.03%
No	40	68.97%

Comments:

Answer Chosen	NO	Always used a combination of methods.
Answer Chosen	YES	Started to use recent docs more often.
Answer Chosen	NO	I would always browse through the file plan rather than doing a search, I find it easier.
Answer Chosen	YES	With lack of success in browsing have tried other methods - using recent documents, for instance. Failing all else, ask staff in the Branch where documents are located.

Answer Chosen	YES	I rely more now on recent documents and the search facility rather than browsing. In summary, there are definitely technological issues which need to be resolved and something like the Users Forum which would provide us with an opportunity to discuss "I tried to do this and it didn't work" would be very helpful. I remain very concerned though about the file plan and where we are to put everything and would welcome advice and guidance on this in particular.
Answer Chosen	NO	Always searched from the outset.
Answer Chosen	YES	Mostly recent or favourite documents
Answer Chosen	YES	Sometimes it is easier to just look through folders than use the search engine if you are not sure of title
Answer Chosen	YES	I used to add documents I used on a regular basis to "Mt Favourites"
Answer Chosen	YES	Tend to use search more!
Answer Chosen	YES	Now tend to search in the WebDrawer instead of the client.
Answer Chosen	NO	Don't use TRIM
Answer Chosen	YES	By experimenting with TRIM I found different ways to find documents but I still refer to the file plan first.
Answer Chosen	NO	Don't use other methods, but would like to learn how
Answer Chosen	NO	see previous answer
Answer Chosen	YES	Initially browsed down through FP, rarely use this functionality now.
Answer Chosen	NO	I think that increased use of TRIM will alter the way I search - probably using recent/favourite records more than a search
Answer Chosen	YES	Recent documents tray is v beneficial
Answer Chosen	YES	Use favourites more now
Answer Chosen	YES	I am now beginning to change the way I search for documents.

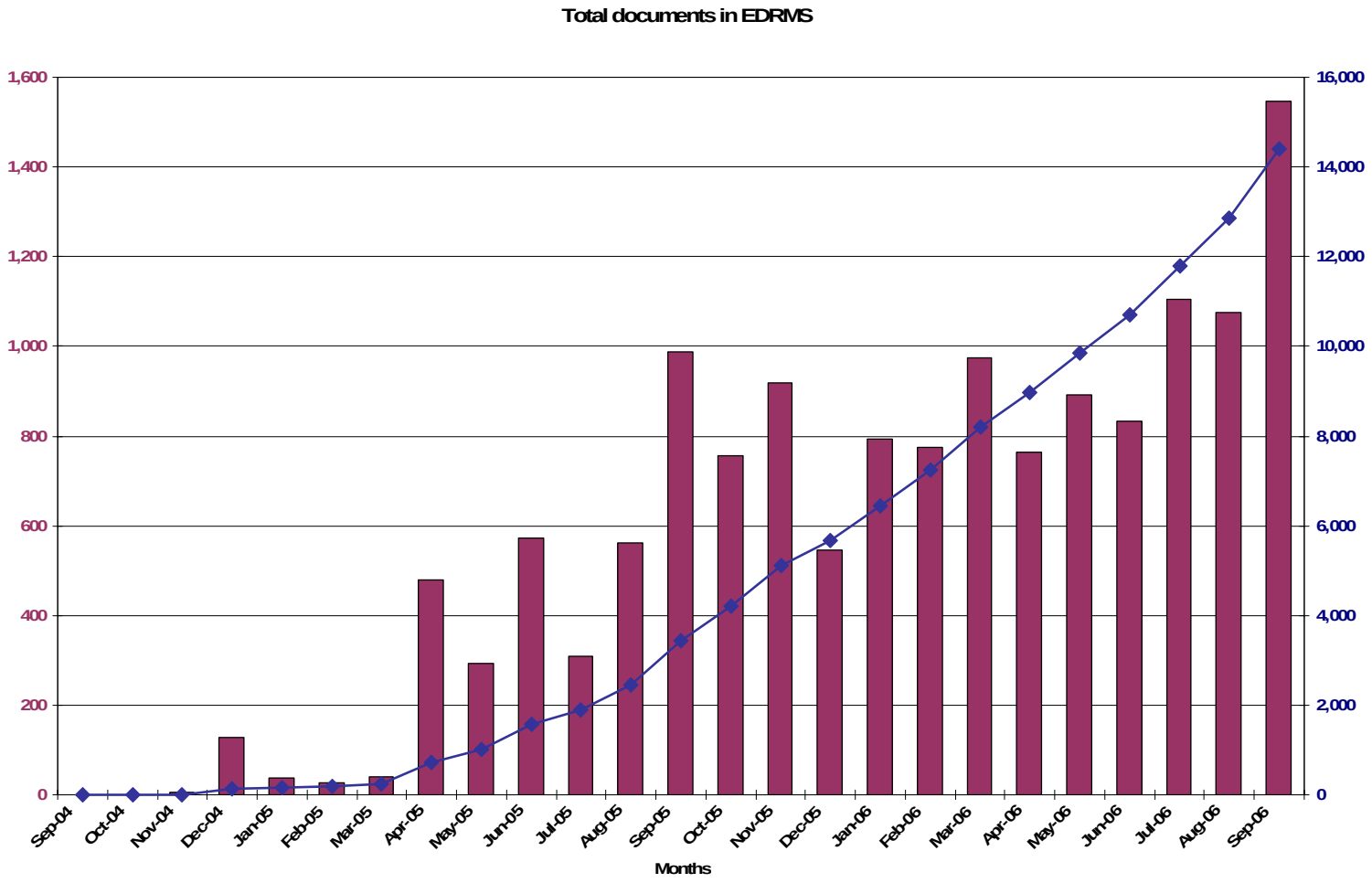
Appendix D: Key Statistics

Key Statistics

The key statistics detailed below represent the period 31/08/04 to 21/09/06.

		Comments
Average number of documents created per 'active' user.	158	
Most documents registered by a single user.	1,445	This represents 10.7% of total documents.
Least number of documents registered by a single user	0	
Total number of documents in TRIM by 21/09/06	13,460	
Total finalised documents in TRIM by 21/09/06	1,506	This represents 11.2% of total documents.
Total number of documents in TRIM by 21/09/06 including all revisions	29,510	
Average number of revisions per document	2.2	
Total number of related documents in TRIM by 21/09/06	57	This represents 0.4% of total documents.
Total containers / folders in TRIM by 21/09/06	1,470	
Total number of empty containers in TRIM on 21/09/06	407	This represents 27.7% of total folders.
Average documents per container / folder	9.2	
Average documents per container / folder excluding empty containers / folders.	12.7	

Growth of documents in TRIM



PERMISSIONS	Administrator	Information Manager	Information Worker[i]	End User	Inquiry User
Record Update Permissions					
Create Records	Yes	Yes	Yes	Yes	
Modify Records	Yes	Yes	Yes	Yes	
Delete Records	Yes	Yes	Yes	Yes	
Reverse Final Declaration	Yes	Yes			
Create new parts	Yes	Yes	Yes		
Modify Record Class	Yes	Yes			
Manage Requests	Yes	Yes	Yes		
Record Administration	Yes	Yes			
Record Administration (Restricted)	Yes				
Record Archivist	Yes	Yes			
Document Update	Yes	Yes	Yes	Yes	
Document Delete/Purge	Yes	Yes	Yes	Yes	
Append to Existing Notes	Yes	Yes	Yes	Yes	
Can Save Record Searches	Yes	Yes	Yes	Yes	Yes
Add Records Relationships	Yes	Yes	Yes	Yes	
Remove Records Relationships	Yes	Yes	Yes	Yes	
Attach Contacts	Yes	Yes	Yes	Yes	
Remove Contacts	Yes	Yes	Yes	Yes	
Set Container	Yes	Yes	Yes	Yes	
Change Container	Yes	Yes	Yes	Yes	
Remove from Container	Yes	Yes	Yes	Yes	
Modify Record Security	Yes	Yes	Yes		
Set Record Archiving Dates	Yes	Yes	Yes		
Document Assembly Administration	Yes	Yes	Yes		
Location Update Permissions					
Can Create Internal Locations	Yes	Yes			
Can Modify Internal Locations	Yes	Yes			
Can Delete Internal Locations	Yes	Yes			
Can Create External Locations	Yes	Yes	Yes	Yes	
Can Modify External Locations	Yes	Yes	Yes		

PERMISSIONS	Administrator	Information Manager	Information Worker[i]	End User	Inquiry User
Can Delete External Locations	Yes	Yes	Yes		
View User Profile Details	Yes	Yes			
Modify Logins and User Profiles	Yes				
Control File Update Permissions					
Record Types	Yes	Yes			
Lookup Sets	Yes	Yes			
User Defined Fields	Yes	Yes			
Classifications (File Plan)	Yes	Yes			
Schedules	Yes	Yes			
Holds	Yes	Yes			
Spaces	Yes	Yes			
Document Stores	Yes				
Indexed Words	Yes	Yes			
Postal Codes	Yes	Yes			
Thesaurus Terms	Yes	Yes			
Saved Searches	Yes	Yes			
Meetings	Yes	Yes	Yes		
Workflow/Action Tracking					
Workflow Administration	Yes	Yes			
Actions Administration	Yes	Yes			
Attach Actions or Activities	Yes	Yes	Yes	Yes	
Reassign Actions or Activities	Yes	Yes	Yes		
Reschedule Actions	Yes	Yes			
Complete Actions or Activities	Yes	Yes	Yes	Yes	
Create Workflow	Yes	Yes	Yes	Yes	
Create Workflow Without Using Template	Yes	Yes			
Modify Workflow	Yes	Yes			
Miscellaneous					
Reporter Administration	Yes	Yes			
Run Statistics	Yes	Yes	Yes		
Edit Business Calendar	Yes	Yes			

PERMISSIONS	Administrator	Information Manager	Information Worker[i]	End User	Inquiry User
Change System Settings	Yes	Yes			
Use Caption Editor	Yes	Yes			
Security and Audit Administator	Yes	Yes			
Define Barcode Scanners	Yes	Yes	Yes		
Define Web Templates	Yes	Yes	Yes		
Bypass View Access Controls	Yes				
Bypass All Access Controls	Yes				
Import and Export	Yes	Yes			
Bypass Lockdown	N/A	N/A	N/A	N/A	N/A
Location Usage Permissions					
Can be Record Home	Yes	Yes	Yes	Yes	Yes
Can be Record Owner	Yes	Yes	Yes	Yes	Yes
Can be Record Assignee	Yes	Yes	Yes	Yes	Yes
Can be Record Contact	Yes	Yes	Yes	Yes	Yes
Can be Record Requestor	Yes	Yes	Yes	Yes	Yes
Can be Action/Activity Supervisor	Yes	Yes	Yes	Yes	
Can be Activity Supervisor	Yes	Yes	Yes	Yes	Yes
Can be assigned to an Access Control	Yes	Yes	Yes	Yes	Yes

[i] Please note that a number of Imformation Workers are members of a Power Users Group. This group have the ability to create folders (containers) controled via Record Type permissions and not User Type Permissions.